

REQUEST FOR PROPOSAL

Information Systems Management RFP



Proposal Opening Date: March 20, 2020

Proposal Opening Time: 11:00 am (Local Time)

Sewerage and Water Board of New Orleans

Special Projects

January 30, 2020

NOTE TO PROPOSERS:

- 1) Submit the separate set of Proposal Forms with all required information as your Proposal.
- 2) Retain the complete set of Specifications and Contract Documents for your file.

Request for Proposal Response Check List

Include the following items with your RFP response; sign all forms:

The following should be included in your binder:

- ☐ **Responses to “RFP Questions”**
As listed in Section X – RFP Questions – Proposer’s Responses

- ☐ **Response Authorization**

The response authorization from an authorized representative of your organization that can commit to the content and offers representation in your Proposal response (page 2)

- ☐ **Operations, Maintenance, and New Development Rates**

Include Names of Positions, and Numbers of Employees in each Position.
DO NOT INCLUDE HOURLY RATES ON THE SHEET THAT GOES IN YOUR PROPOSAL BINDER.

- ☐ **DBE Summary Form**

Return a copy of the template provided in Appendix E.

- ☐ **Safety Orientation Notice**

Return a copy of the form provided in Appendix F.

- ☐ **Conflict of Interest Disclosure Affidavit**

Return a copy of the form provided in Appendix N.

- ☐ **Convicted Felon Declaration**

Return a copy of the form provided in Appendix O.

- ☐ **Copies of any Addenda which are Issued**

Sign all addenda issued and attach to your proposal indicating your receipt and understanding of the additional information included in the addenda.

These items should be included in a separate envelope, turned in with your submittal:

- ☐ **Proposal Cover Sheet**
(As per Appendix A) Since the cover sheet contains pricing information, it should be included in a separate envelope.

- ☐ **Pricing Sheets**

Return a Pricing Sheets (using provided tables) clearly explaining how you arrived at proposed pricing for Operations and Maintenance, Emergency and New Development rates.

REQUEST FOR PROPOSAL INFORMATION SYSTEMS FACILITIES MANAGEMENT RESPONSE
AUTHORIZATION

Issue Date: January 30, 2020

Title: Information Systems Facilities Management

Due Date: Sealed proposals will be received until March 20, 2020 @ 11:00 am
(local time)

Issuing Agency: Sewerage and Water Board of New Orleans
625 St Joseph Street
New Orleans, LA 70165

Period of Contract: Date of Award through one year, one-year initial term
with four (4) one-year renewal options available

Inquiries: All inquiries should be directed to Patti Wallace, Purchasing Agent:
(504) 585-2428 Voice
(504) 585-2150 Fax
pwallace@swbno.org

Proposals are due by 11:00 AM (local time) on March 20, 2020 and submitted to the following location; Sewerage and Water Board of New Orleans, Room 133, 625 St Joseph Street, New Orleans, LA 70165.

In compliance with this Request for Proposal and to all the conditions imposed therein and hereby incorporated by reference, the Undersigned offers and agrees to furnish the services in accordance with the attached signed proposal or as mutually agreed upon by subsequent negotiations. The undersigned further certifies that he/she is authorized to sign this document on behalf of the submitting firm.

_____	Date: _____
Name of Firm	
_____	By: _____
Address	
_____	Name: _____
City and State	Zip Code
	Typed or Printed
Phone No.: _____	Fax No: _____
Email: _____	Dunn Number: _____

NOTE: Changes to this RFP may be issued in the form of an addendum at any time prior to the due date and time for submitting proposals. The Purchasing Agent maintains a mailing list of all vendors that were provided copies of this solicitation (via vendor pickup, mail, fax or email). The Purchasing Agent will send the addendum to any vendor who directly received a copy of the RFP from the Purchasing Agent. Any vendor who did not directly receive a copy of the RFP from SWB is encouraged to visit SWB's web site regularly to learn of any changes to the solicitation (www.swbno.org) and contact the Purchasing Agent to have their name added to the mailing list. SWB's purchasing regulations require each officer to submit a signed copy of the addendum to the above delivery address by the proposal due date and time or included with the firm's response to the solicitation.

RFP for Information Systems Facilities Management

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I. INTRODUCTION

The Sewerage and Water Board of New Orleans was created by Act 6 of the Special Session of the Louisiana Legislature of 1899 as a special board independent of the City's government to construct, maintain and operate a water treatment and distribution system and a public sanitary sewerage system for the City. In 1903, the Legislature gave the Board control of and responsibility for the City's major drainage system and relieved the City of the duty of providing, in its annual operating budget or otherwise, for the maintenance and operations of the water, sewerage and drainage systems.

The major operations of the Board are providing water, sewerage and drainage services for the City of New Orleans.

The Board of Directors is composed of eleven members, including the Mayor of the City, two members of the Board of Liquidation, one member of the city council, one retired professional engineer and representation from each council district. The citizen Members of the Board of Directors serve staggered four-year terms. The Board is comprised of approximately 1400 employees and has approximately 135,000 active customer accounts.

The Information Systems Administrator (ISA), who reports to the CFO, heads the Information Systems Department. The ISA acts as the Contract Administrator for the agreement under discussion in this RFP and oversees.

Information Systems is responsible for the strategic leadership, implementation and control of all technology systems for the Board. This includes development of short and long term information strategic plans, coordination of schedules to achieve strategic initiatives approved by the Board and/or Executive Director of SWBNO, and ensuring continued daily management of all hardware and software, as well as purchasing all computer hardware and software used by the Board.

Also, Information Systems is responsible for the operation of the mainframe computer and peripherals, the PC LAN network and a variety of software applications. Information Systems supports all SCADA (Supervisory Control and Data Acquisition) servers, network infrastructure and computer hardware for the SCADA department, which reports to the Chief of Engineering.

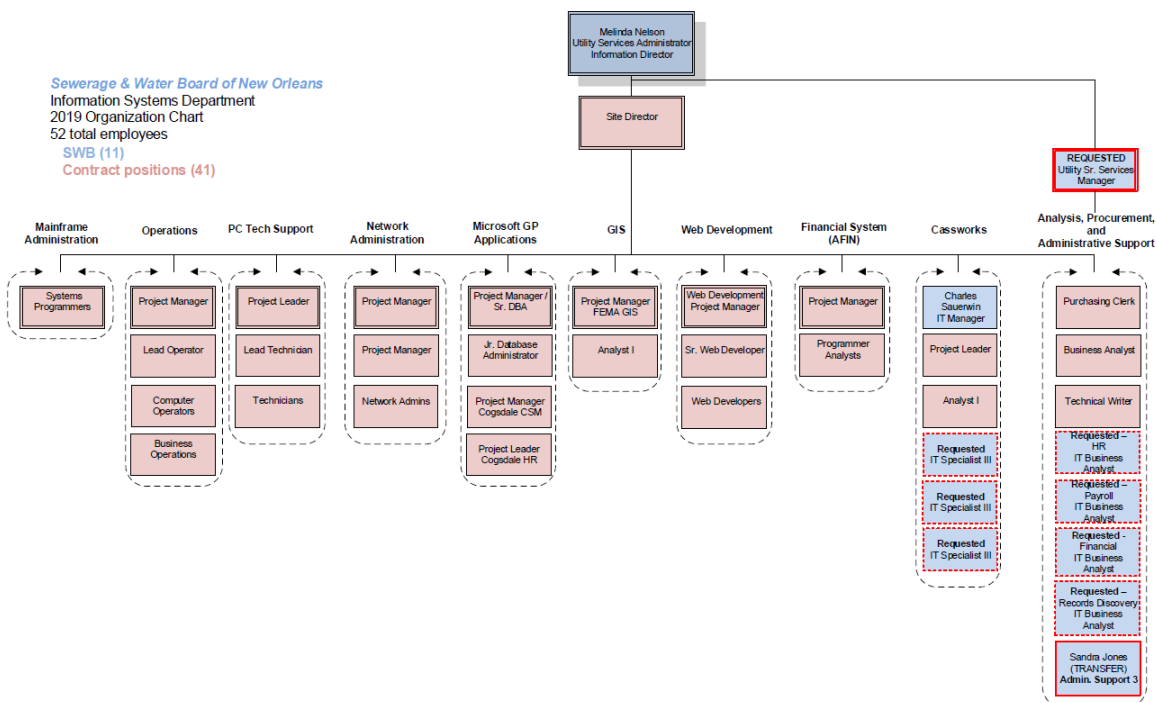
Some stand-alone PCs and additional systems scattered around various Board sites are provided secondary support by Information Systems. Information Systems is also responsible for the Voice over IP telephone network as well as cell and smartphones and tablets throughout the Board. Currently, there are a few small SaaS cloud applications also in use at the Board.

As governments see an increasing amount of technology fraud and intrusion of business and personal information, cybersecurity has become an important component of any technology department across all business sectors. Gone are the days of simple firewalls and antivirus software being your sole security measures. As the world becomes more connected through all aspects of technology, cybercrime permeates every facet of society. Cyber threats can come from any level of an organization; including ransomware, phishing or malware. With this in mind, EPA

regulations have required all utility agencies to undergo a risk management review, with a specific call-out for a cybersecurity review. As the Board moves to replace and upgrade much of its technology, it will also need to ensure that strong barriers to cyber threats exist with expert skill sets in place to recommend and implement the necessary protections to safeguard the critical operations of the Board.

The Programmer / Analyst staff is divided into teams by application system. For example, the Microsoft GP Applications Team is responsible for all Cogsdale CSM and Dynamics Great Plains Human Resources and Payroll modules. Each team does both the maintenance and development efforts on their system.

The current Information Systems Departmental organization chart follows:



II. RFP PURPOSE

The Sewerage and Water Board of New Orleans (Board) is issuing a request for proposals (RFP) from organizations capable of providing onsite Information Systems Management services for its Information Systems Department under an agreement to be entered into for that purpose. The Professional Services agreement will encompass a one (1) year period, with an option for up to four additional one (1) year extensions, pending performance and annual appropriation of funds by the Board. The successful proposer will act as an independent contractor.

The proposer must be qualified and experienced with the latest technology and techniques in this field.

During the term of the contract, suggestions, evaluations and recommendations are expected from the Information Systems Management vendor concerning hardware acquisition, strategic planning, setting of priorities, software packages or third-party software, etc. The Board, however, will have the final decision on all such matters.

The Board approved a minimum of 35% of this contract to be awarded to one or more of its certified Disadvantaged Business Enterprise (DBE) vendors. The names of the DBEs must be supplied on the form supplied within this RFP (Appendix E).

III. RFP SCOPE

The scope of work consists of two areas (“Operations and Maintenance” and “New Development”) for a combined Mainframe/PC Network environment. Additionally, the vendor will be required to provide formal strategic planning recommendations as well as project management services for all new software implementations.

All onsite staff positions necessary for a full-service information systems department, with the exception of current Civil Service employees within the department, are included in this RFP. Certain Information Systems department personnel are considered essential, and must work onsite during emergencies, as requested by the Emergency Operations Department.

All mainframe systems should be replaced during the next 2 to 4 years, with additional replacement of the current CMMS (Computerized Maintenance Management Software) system with an asset management system in the next 4 to 7 years. Until the new systems are in place, the vendor must support the current hardware and applications and should also assess and upgrade cyber security on an on-going basis, following NIST standards. Changes to existing applications, including those currently under development, and all new development must follow a System Analysis and Development Methodology where applicable.

In addition to the above, the Information Systems department is required to support other Board departments with various IT support tasks, including assisting the Legal team with document discover email searches and providing staffing to the Emergency Management Department during hurricanes and other emergencies

KPIs

In addition, the vendor will be required to provide quality, efficient and dependable service to its customers and employees. KPI's will be determined during the transition phase.

IV. RFP GOALS

Sewerage and Water Board of New Orleans is seeking Proposals from selected Proposers in an effort to accomplish the following goals:

- Supply the Board with onsite technical and functional IT professional services for all Operations, Maintenance and New Development within Sewerage and Water Board of New Orleans.
- Provide the Board with professional, up-to-date advice for all technical expansions and strategic planning for technology at the Board.
- Provide well trained, full-time, technical personnel to staff the contract.
- Provide project management services for all new software implementations.
- Provide formal strategic planning study and recommendations.
- Provide after-hours support for Information Systems SCADA responsibilities.
- Provide full-time management of all aspects of the Information Systems Management contract.

Proposers will be asked to define their capabilities within this RFP to achieve these goals.

V. RFP VENDOR MINIMUM REQUIREMENTS

- The Prime Proposer should have a minimum of five (5) years of similar services expressed by the Board.
- The Prime Proposer should have a minimum of five (5) previous Information Systems contracts.
- All subcontractors should have a minimum of five (5) years' experience in the areas of service to which they are allocated.
- Subcontractor required to have a minimum of three (3) previous Information Systems contracts.
- If Vendor employs a SCADA subcontractor, subcontractor must employ sufficient staff to provide same-day support for critical tasks, after-hours support for critical issues, and same-week support for average requests.
- The Proposer is responsible for all background checks and obtaining SWBNO security badging.
- The Proposer should have a single full-time Site Manager, or two individuals whose time devoted to the contract equals one full-time equivalent, whose resume(s) demonstrate(s) both a technical and management background.

VI. PROPOSAL PROCEDURES AND FORMAT

- A. **One (1) original and eight (8) copies** (clearly mark original and label package with contents), **as well as an electronic copy (on CD or flash drive)** of the Proposal should be received by **11:00 am, local time on March 20, 2020**. The sealed Proposals should be sent to:

Purchasing Department Room 133
Sewerage & Water Board of New Orleans
625 St. Joseph Street
New Orleans, Louisiana 70165

Any Proposals received after 11:00 a.m local time on March 20, 2020 will not be considered.

- B. A mandatory pre-submittal conference for this RFP will be held at **February 21, 2020 @ 10:00 am** (Local Time) in the Boardroom at the Sewerage & Water Board of New Orleans Main Office, 625 Saint Joseph Street, New Orleans, LA 70165. At this meeting, staff will discuss the scope of work, submittal requirements and respond to questions from the attendees.
- C. **Questions** after that time should be emailed to the Purchasing Department at pwallace@swbno.org not later than **February 28, 2020**.
- D. Any and all responses to questions will be communicated to all vendors who received an RFP not later than **March 6, 2020**.
- E. **The calendar of events for the RFP is expected to be as follows:**

Date	Action Item
January 30, 2020	Begin Advertising
February 21, 2020 @ 10:00 am	Mandatory Pre-proposal Conference
February 28, 2020	Deadline for Board receipt of written questions
March 6, 2020	Response to questions distributed
March 20, 2020 @ 11:00 am (local time)	Sealed Proposals Due by 11:00 AM
TBD	Shortlisted Vendors published
TBD	Onsite presentations
TBD	Site Visits
TBD	Staff recommendations will be submitted to Board for final selection

- F. **Method of Response** – All RFP responses shall be submitted in 3-ring binders, with tabs between each section. An itemized response to the RFP is required; otherwise, the Board may consider information submitted by the vendor incomplete and unacceptable. Information submitted must be current, accurate and complete. Misrepresentation of any data shall be grounds for rejection or cancellation if a contract has been awarded, and

appropriate legal remedies shall be sought. All information supplied shall include textual or section references which identify which RFP requirement is being addressed

- G. **Requests of Qualification Review** - The Board reserves the right to conduct an inquiry of Proposers under consideration, to confirm any part of the data furnished, or to collect additional evidence of managerial, financial, and/or technical capabilities. Proposers may be required to make oral presentations of their proposals before a Review Committee. The Proposers will be notified by telephone or FAX if oral presentations are scheduled. Proposers shall include in their proposals the name, address, telephone number, email address, and FAX number of the individual to be notified by the Board concerning oral presentations, or any other matter regarding their proposal. Further, the Board assumes no responsibility for failure to notify any Proposer of an oral presentation requirement, or any other matter regarding their proposal, when this information is not included in their proposal.
- H. **Cost of Request for Proposals** - The Proposer assumes sole responsibility for any and all costs associated with the preparation and reproduction of any proposal submitted in response to this RFP, and shall not include this cost or any portion thereof in the proposed contract price.
- I. **The vendor must sign all attached forms.** No modifications or changes to these documents will be accepted. The vendor states that it accepts the Board's insurance policies as described in section XII SEWERAGE AND WATER POLICIES AND PROCEDURES and that it waives all rights to subrogation against the Board.
- J. **The vendor must provide all information and documents** requested in Section X RFP QUESTIONS – PROPOSER’S RESPONSES.
- K. **Site visits** will be permitted during the period beginning **February 20, 2020 through February 28, 2020**. All site visits must be requested **in writing** to the Purchasing Agent by **February 19, 2020**.
Site visits are limited to one visit per vendor with duration of one and one-half hours. In addition, the Board can only commit to the vendor the availability of the Board staff. Access to the personnel of the current vendor is not permitted.
- L. **Changes, Addendum, or Withdrawal of Proposals** - Any changes or addenda to a proposal must be submitted in writing, signed by an authorized representative of the proposer, cross-referenced clearly to the relevant proposal section, and received by the Board prior to the proposal due date and time. All changes and addenda must meet all requirements for the proposal. Any proposer choosing to withdraw its proposal must submit a written withdrawal request to the Board prior to the proposal due date and time.
- M. **Ownership** - All Responses, including any submitted documents, to this RFP or any resulting solicitation are the property of the Board for all purposes. Respondents must

clearly mark individual documents or information that the applicant claims are exempt from public record disclosure and specifically justify the exemption. The Board does not guarantee the confidentiality of submissions.

- N. **Prohibition of Communication** - From the date of initial advertisement until the Board's selection of attorneys, Respondents (including potential Respondents) and any person acting for any of them shall not communicate with any Board officer or employee, except for the point of contact identified above, concerning this RFP. This prohibition does not apply to oral communications at solicitation conferences or at evaluation committee meetings concerning this RFP. This prohibition does not apply to communications at any time with any Board employee or elected official regarding matters not concerning this RFP.
- O. **Effect** - This RFP and any related discussions, evaluations, proposals, or resulting solicitations by the Board or any person on its behalf create no rights or obligations whatsoever, except as provided in this RFP. The Board may cancel or modify this RFP or any resulting solicitation at any time at will, with or without notice. Anything to the contrary notwithstanding, any professional services agreement executed by the Board will be issued the exclusive statement of rights and obligations extending from this solicitation.

VII. COMMUNICATIONS PROCEDURES

Upon Proposer receipt of this RFP, all communications concerning the RFP must be directed to the single point of contact: Patti Wallace, the Purchasing Agent for the Board. Discussions regarding this RFP with other parties, including parties within or associated with SWB is prohibited. Any breach of this policy may, in SWB's sole discretion, result in the supplier's disqualification from the bid process for this specific event and other bid requests by SWB. Oral communications between SWB and Proposer regarding this RFP are non-binding.

Name: Patti Wallace, Purchasing Agent
Telephone: (504) 585-2428 Voice
Fax: (504) 585-2150 Fax
Email: pwallace@swbno.org

VIII. ORGANIZATION OF INFORMATION SYSTEMS DEPARTMENT

A. Personnel

1. Current Contract Personnel

The level of effort provided by the current Information Systems Management vendor as of October 2019 is as follows:

# of Personnel	Contract Job Title
1	Account Executive & Site Director
1	Finance Systems Project Manager
2	Finance Systems Programmer/Analyst
2	System Programmer
1	GIS Project Manager
1	GIS Analyst 1-GIS
1	Cassworks Admin Project Lead
1	Network Project Manager
1	Network Administrator Sr. Engineer
1	Network Administrator GIS Admin
1	Network Administrator VoIP
2	Network Administrator
1	Sr. SQL Database Administrator
1	Customer Billing System Project Manager
1	Payroll GPHR Programmer Analyst
1	Mainframe Operations Project Manager
3	Mainframe Computer Operator
1	Mainframe Lead Computer Operator
1	PC Support Supervisor
1	PC Support Manager
5	PC Support Technicians
1	Purchasing Clerk / Admin Specialist
1	Business Analyst
1	Imaging Clerk (part time)
3	Web Developer (one part time)
1	Analyst 1-Cassworks
1	Network Administrator – Security
1	Technical Writer
1	Database Administrator

2. Civil Service personnel:

1	Utility Services Administrator
1	Utility Sr Services Manager (requested)
1	Cassworks IT Manager
3	Cassworks Analysts (requested)
1	IT Business Analyst (Payroll) (requested)
1	IT Business Analyst (HR) (requested)
1	IT Document Discovery IT Analyst (requested)
1	IT Business Analyst (Finance) (requested)

In addition, the vendor directs the work of and aids in the evaluation of the performance of the Board programmers. However, the following position is outside the scope of vendor management:

Information Systems Administrator

The Board will provide office space for representatives of the vendor personnel. That space will be limited to cubicles/offices for 42-44 people. (Data Center desks are used for more than one shift each.) The Board will provide regular office supplies and onsite computers. Parking will not be provided under this contract; employee mileage expenses are the responsibility of the vendor.

Location	Current Office Space Available to Vendor
2nd Floor 625 St. Joseph Street	16 Cubicles; 1 Office
Data Center 625 St. Joseph Street	2 Desks; 1 Office
Basement 625 St. Joseph Street (Network Group)	6 Desks, 1 Office
Basement 625 St. Joseph Street (B23/B25)	9 Cubicles
Carrollton Water Treatment Plant, 8800 South Claiborne Avenue	2 Work Spaces
Central Yard, 2900 Peoples Avenue	1 Office; 3 Work Space

For further details regarding the departmental duties of the above personnel, please refer to Appendix P.

B. Hardware (Existing)

The Board utilizes a Mainframe/PC Network environment.

The Mainframe environment consists of an IBM zEnterprise 114 Model 2818-M05 running a Z/OS operating system. It consists of a terabyte of DASD, tape cartridges, impact and laser printers.

The Sewerage and Water Board of New Orleans maintains a Wide Area Network (WAN) with 28 sites wired with AT&T ASE - including 4 major sites.

Server hardware is maintained in a data-center environment, with standard data-center air-conditioning and a Sapphire chemical fire-suppression system. Servers and storage arrays are housed in 3 server racks, with each rack supported by a separate UPS battery backup configuration and whole room UPS.

SCADA consists of drainage, water, sewer and power generation stations, each containing a collection of HMI (Human/Machine Interface) computers, PLCs (Programmable Logic Controllers) and sensors that monitor specific functions and levels of instrumentation that allow station operators to monitor and adjust settings according to SWBNO regulations and established practices. This information is collected and sent to centralize repository servers (Historians) that are located in the main datacenter's virtualization environment. Information systems provides purchasing and support for computer and network hardware, and for the SCADA system. Other aspects of the system (PLCs, instruments/sensors) are purchased and supported by the SCADA Engineering department.

Further details of Board Hardware can be found in Appendix M.

IT Operations and Network:

IT Operations and Network support is responsible for providing the infrastructure, hardware/software, and services critical to supporting the **all Board locations**, and related functions of SWB. Refer to Appendix L for SWB Network Diagram.

C. System Software (Existing)

The Computer Center maintains an inventory of third-party system software primarily consisting of IBM products for the mainframe. The major components are COBOL, CICS and VSAM flat files. Some of the non-IBM products are furnished by Computer Associates and others and are used for program development and maintenance such as Librarian and Roscoe. Further details of these can be found in Appendix M.

D. SCADA Software (Existing)

Maintenance of the SCADA systems is divided between the SCADA Engineering

Department and Information Systems. Information Systems responsibilities center on the monitoring, updating, and maintenance of the SCADA nodes and servers, including SCADA applications such as iFIX and PI in the current operational system. Information Systems supports all SCADA network infrastructure and computer hardware, and purchases all computer hardware and software. SCADA operational support is currently provided by a subcontractor specializing in SCADA applications support. Further details of these duties can be found in Appendix M.

E. Applications (Existing)

The Board maintains applications that were developed in-house, and applications purchased from third party vendors. The major application areas are Human Resources, Financial, Customer Billing, Accounts Receivable, Payroll, Equipment Maintenance and In-ground Network Infrastructure Inventory and Work Order System. Further details of these can be found in Appendix M.

F. Applications (Proposed)

Following a gap analysis study completed earlier this year, the Board anticipates several new development projects during the term of the contract. However, the Board does not guarantee that any new services will be required and will have ultimate authority in deciding future development plans. The Board requires development of a five-year strategic plan, and that a Systems development life cycle be used.

The mainframe AFIN Financial System and CassWorks work order System are two systems which the Board is considering replacing during the next few years, pending available funding. The RFP has been written for the Financial System, and pending any funding difficulties, responses should be received in the 4th quarter, 2019 or first quarter, 2020. The work order system is envisioned to be replaced with a comprehensive asset management system. Additional systems which may require implementation support and long-term support include the automated meter implementation and document management. Other systems may also require upgrades or replacement.

The vendor will be expected to provide project management services for new applications.

G. Hardware/Software Acquisition Practices

The vendor should assume that the current and proposed hardware and software as outlined in Sections B-F, above and in Appendix M are to remain in place. All hardware decisions and requisition are to be approved by the Board.

Any changes in hardware and/or software cannot be considered until after the vendor has completed the transition phase or period.

Where possible, the Board purchases hardware off the Louisiana State Bid list; however if necessary, bid specifications may need to be written. The vendor should have sufficient expertise and staffing to write, or aid in the writing, of bid specifications.

H. Operations and Maintenance

1. Operations

Professional on-site staffing for the computer center includes operations, production control, systems support, communications support, PC support and network support. Note: Production work is not currently regularly run during regular business hours. The Board provides critical services to the city of New Orleans and operates 24/7/365; therefore it is imperative that technology systems are operational even in weather emergencies. SCADA support must also be available 365 days a year, with response to critical outages within one hour.

We maintain an emergency response center with critical data - see section IX M for further details around emergency contract support.

As the Board shifts from mainframe batch processing to LAN real-time processing, the Board envisions production work schedules being reorganized to fit the new environments. Additionally, as the Board moves responsibilities for new systems to the user departments, operations work will decrease. (For example, Payroll Department now runs payroll instead of Information Systems.)

The daily working hours and shifts of the operators are as follows:

Days	Start Time	End Time
Monday-Friday	5:00 AM	1:00 PM
	6:00 AM	2:00 PM
	11:30 AM	7:30 PM
	1:00 PM	9:00 PM
	3:45 PM	11:45 PM

Availability of all on-line systems will be 24 hours, 7 days unless security or acts-of-God dictate otherwise.

Note: The duties of the Operations staff include, but are not limited to, production batch processing (nightly and occasional weekends), on-line CICS- 24 hours daily (except

scheduled down-time, 2 to 3 hours at night); operating system upgrades; file and system back-ups; offsite vaulting; scheduled preventive maintenance on mainframe and PC Network; PC Network Administration; Data Base Administration; Help Desk for hardware, PC questions, etc. and PC Support. The Help Desk functions as a user service to address hardware and software problems and questions. Please refer to Appendix P for further details.

The Board requires the utilization of uniform standard procedures in the operation of its Computer Center. Procedures have been developed and documentation assembled covering specifications for machine operation, hardware maintenance, scheduling, file retention, offsite backup, job record keeping, job processing and disaster recovery, emergency procedures and physical security. The vendor is required to use these procedures in the operations of the Computer Center. The vendor will be required to keep the procedures and documentation current. The vendor may also suggest improvements and enhancements to its policy and procedures subject to the Board's approval.

With the exception of work during declared emergencies, the Board shall not be charged a premium for any work necessary for operations work. Unless there are staffing additions or deletions the Information Systems Management vendor shall be required to perform the operations requirements for a fixed annual fee.

2. Maintenance

Maintenance is defined to be modifications or additions to an existing System or to multiple Subsystems within the one System.

The Information Systems Management vendor shall be required to provide onsite personnel to maintain existing systems. However, while support for SCADA hardware, networking and operating systems are to be performed on-site, SCADA application support may be provided offsite by staff located within 100 miles of New Orleans.

Additionally, the Information Systems Management vendor shall maintain systems under development when they become production systems. The Board recognizes the difficulty in defining maintenance versus new development for services rendered.

With the exception of work during declared emergencies, the Board shall not be charged overtime for any work necessary to maintain existing systems and applications. Unless there are staffing additions or deletions, the Information Systems Management vendor shall be required to perform the maintenance requirements for a fixed annual fee.

The level of effort expended by the current Information Systems Management vendor is detailed in Appendix P. The selected Information Systems Management vendor should determine the level of effort to perform the services under the contract and prepare a transition plan.

The vendor shall be required to use a systems development life cycle for large maintenance projects and, as such, will be required to provide a size and scope document under the maintenance portion of this contract. Also, the vendor will be required to prepare system requirements, conceptual designs, and programs for these projects.

The vendor shall provide support for the Board's complement of PCs, tablets, laptops, printers, scanners, cell phones, etc.. This support shall consist of planning the use of and support for both packaged software and software developed in-house, first level problem determination, installation and upgrades, network administration and related duties. The vendor shall assess and upgrade cyber security on an on-going basis, following NIST standards. The vendor shall also prepare for and assist the Board in the cyber security assessment mandated by the Water Security Act of 2018, and shall help guide the Board in its mandated response to any shortcomings identified in the assessment. Additionally, the vendor shall write / upgrade policies for both internal IT staff as well as all Board users.

The Information Systems Management vendor will also be required to provide a Help Desk function, which is currently staffed by Operations staff. The Help Desk will be a specialized function within the Information Systems Department. The Help Desk functions as a user service to address hardware and software problems and questions. It will not consist of any programming or detail design work, but only analysis of the users' requests and problems. Using one or more end-user computing tools can satisfy some users' request for service. Requests for this service may be initiated through a call log.

Note: Maintenance functions shall include, but not be limited to, maintaining and modifying existing programs, performing routine upgrades, writing new programs in existing applications, developing statistical information for existing systems, meeting with users, preparing documentation and providing training on changed or added processes, performing analytical work and providing information for the Help Desk requests, assisting users in installing PCs and PC software, performing email and document searches for public records requests, supporting cell phone and VoIP desk phones throughout the Board, and performing off-hours production job recovery, preparing size and scope documents for both maintenance and new development requests.

I. New Development

New Development is defined to be modifications to multiple Systems or development of new or replacement Systems or Subsystems within an existing System. New Development includes both the staff hours needed to complete project as well as the necessary project management necessary to guide the project to a successful completion. Project Management includes, at a minimum, the project management functions necessary to assess critical needs and requirements, produce RFP documents, procure software or hardware, manage vendor selection, implementation, monitoring of vendor, regular project assessments, and recommendations and documentation regarding go-live and change

orders.

The Board may request the Information Systems Management vendor to provide new development services. When a user request is classified as New Development, or when implementing a technological strategic plan, the Board requires that a Systems Development Life Cycle (SDLC) be used where applicable. The cost must be quoted as an hourly rate with a maximum total cost. All hours worked on a new development project are chargeable to the project; however, all hours worked shall be "straight time" and no overtime rate shall be allowed. Vendors should describe their methodology for costing New Development projects.

Vendors will be required to provide detailed information on costing and work plans. If existing personnel will be assigned to a development project, the vendor will be required to detail the effect on the maintenance schedules and pricing.

All software developed will become the exclusive property of the Board. The vendor and its employees will be prohibited from the use, license or sale of any software, including the Board's current systems, to anyone or for any purpose other than for the Board.

Note, the vendor must provide a size and scope on all proposed New Development projects at no additional cost to the Board. The size and scope shall be prepared under the Maintenance portion of this contract.

J. Account Management

The Information Systems Management vendor will be required to provide all management services to perform the operations, maintenance, emergency, and new development services required under this contract. One of the Board's first goals in the management of its business is quality service to its customers and employees. This philosophy should be the basis for managing the Information Systems Department, for handling user requests for services and in the status reports prepared for the users and Board management in order to identify Information Systems' progress and completeness.

As an example, KPIs should be identified at the beginning of the contract, in conjunction with the ISA. Written weekly reports will be submitted to the ISA as to status of all current projects, and these should include KPI updates. Special reports related to recommendations for hardware acquisition and installation and software evaluations shall be submitted as appropriate. Quarterly and yearly reports shall be provided as necessary.

Detailed timekeeping shall be performed for each employee working under the contract. All time shall be accounted for by charging time to an approved project and/or activity.

Billing under this contract shall include detail and be separated by operations/maintenance and new development.

Additionally, the vendor will be required to provide strategic planning recommendations and project management services for all new software implementations.

More detailed information for account management is found in Appendix P, under “Administration (Site Director).”

IX. VENDOR REQUIREMENTS

The following items cover various vendor requirements, which should be addressed in the RFP submittal.

- A. Personnel:** Full-time contract personnel shall work a total of 8 hours daily (40 hours a week), excluding lunch break. All contract personnel shall follow the Board’s holiday schedule.
1. If part-time personnel work on the contract, they will count as the calculated value of their hours worked divided by 40 hours per week to get their full-time equivalent value. The work schedule for part-time individuals shall be provided to the Information Systems Director. Under extreme circumstances, employees may be hired as “1099” employees. However, use of “1099” employees is discouraged. The Information Systems Director must approve the use of “1099” employees in the place of regular contract employees. Where necessary, subcontractors may be hired to fulfill special tasks; however, the prime vendor must maintain the DBE percentage for the contract.
 2. All supervisory and management contract employees must be full-time.
- B. Overtime:** The Board shall not pay overtime to contract employees. Any overtime payments mandated by FSLA shall be paid by the contractor to its employees.
1. No increase in the monthly Operations and Maintenance fee shall be levied when contract employees work overtime.
 2. No increase in the monthly new development fee shall be levied when contract employees work overtime. New Development fees shall be paid based on the total number of hours paid times the hourly rate of the employee.
- C. Organization of Personnel within the Department:** The current organization of personnel in the Information Systems Department is shown in the organization chart (page 6). Contractors should review the current organizational structure for information purposes, but are encouraged to propose modifications which they believe are appropriate.
1. The current staff is made up of typical Information Systems positions (programmers, PC technicians, network administrators, etc.) along with less typical positions (Business Analyst – EPA Reports, Procurement, Technical Writer, etc.)

2. The Board requires that all Information Systems work to be performed by individuals whom have been assigned to the contract. The Board requires that all individuals assigned to the contract to work out of Sewerage and Water Board of New Orleans locations, unless otherwise approved by the ISA. Staffing recommendations should be based on these requirements.
3. Three non-technical positions, Business Analyst, Technical Writer, and Clerical Support (Procurement), are necessary for the department itself as well as the Sewerage and Water Board and must be included in the contractor's proposed staffing for the department.
4. Unless the recommended organization of personnel includes two identified Co-Site Directors, the individual who is considered second in command to the Site Director shall be clearly identified. Administration of the Board's contract and supervision of its employees shall be deemed a full-time job; responsibilities to the parent company for other administrative, reporting, or sales shall be above and beyond the 40 hours per week devoted to the administration of the contract itself.

D. Contract Employee Composition

1. The initial composition of personnel under the contract shall be based on the positions proposed in the RFP submittal. In addition to all contract personnel, the vendor shall be responsible for the daily supervision of the SWB personnel within the department, with the exception of the Information Systems Director's direct subordinate who will report directly to the Information Systems Director.
2. Adding positions to the Contract:

The Board may request that the contractor add a particular staff position or service when the need for additional personnel or activities has been identified. The addition of staff or services shall be discussed annually during the budget preparation cycle, or as the need arises. The required scope (new development or operations & maintenance) will be discussed with the contractor to determine the bill rate and potential impact on the budget. If the position title has been included in the rates supplied in the RFP submittal, then those rates will apply. If the position title is not included in the RFP submittal, the Site Director and IS Administrator will review the bills rates to determine if there is currently a rate that could apply to the new position. If not, a new job description and bill rate will be created.
3. Recommend staffing changes:

The personnel makeup of the contract may need to change when new skillsets are needed, when old skillsets are no longer necessary, or when employee performance becomes unacceptable. The Site Director and IS Administrator will discuss all staffing changes and come to mutual agreement prior to their taking place. This process may result in the replacement or substitution of one position for another, with the appropriate changes in billing rates where appropriate. Such

replacements or substitutions may necessitate both the hiring and termination of employees.

4. Filling vacancies in a timely manner:

- a) Every attempt should be made to fill any vacancy (replacement position or new position) on the contract within three (3) months or less.
 - i. Contractors should simultaneously pursue staffing the vacancy from within while advertising outside the company.
- b) Once a position has been vacated, the Contract shall be reduced by the position's rate until the position is filled.
- c) If a position continues to be vacant beyond three (3) months, the contractor shall be penalized for the vacant position, with the penalty rate increasing if the position is vacant longer than six (6) months. This penalty, along with the position's rate, shall be deducted from the contract until the position is filled. Additionally, after 3 months' vacancy, the Board may obtain services from another vendor until contractor is able to fill the position. (See Section XI – CONTRACT BENCHMARKS & FINES.)

5. Hiring:

- a) The SWB Information Systems Director and/or designee reserve the right to sit in on all interviews to fill contract positions.
- b) The SWB Information Systems Director reserves the right to discuss personnel under consideration for hiring with the Site Director or other contract representatives and make recommendations regarding candidate selection. The SWB Information Systems Director may request the selection or exclusion of a particular candidate.
- c) All individuals who have been deemed acceptable for hire shall undergo background checks by the contractor before they are officially hired.

6. Terminations:

- a) When a contract employee's performance becomes unacceptable, the Site Director shall present, to the Information Systems Director, a plan for remediating the performance of the employee or a recommendation for termination of the employee.
- b) If a position is no longer necessary, the Site Director shall discuss the potential of cross-training the surplus employee versus termination of the employee.
- c) The SWB Information Systems Director shall play an active part in determining the exact timing for termination if all remediation attempts have failed. Prior to termination, the Site Manager shall work to ascertain all projects that are in process and begin documenting those projects. Upon termination, all other important

information for those projects shall be gathered together and filed for future reference.

- d) Immediately upon or prior to termination, all computer access to all systems shall be terminated. ID badges, hurricane placards, and any equipment shall be retrieved from the terminated employee at the time of separation.

E. Leave Usage

1. The prime contractor and all of its subcontractors shall have documented sick and annual leave policies. The Board shall be provided with copies of all leave plans for the prime contractor and all sub-contractors.
2. The Board shall not mandate that all contractors on the contract follow the same leave plan; however, the Board requires that all contract employees follow their company's plan. All leave costs are the responsibility of the contractor.
3. In addition to the contractor's leave policies, all employees are to follow the leave policies detailed in the Information Systems Policies and Procedures document. (Appendix Q).
4. Leave Without Pay
 - a) The Board contracts with the contractor to provide full time equivalent employees, with the exception of holidays and leave.
5. Extended Sick Leave
 - a) The contractor shall provide a replacement for any employee on extended sick leave (or a combination of sick and annual leave), which exceeds six weeks at the contract rate.

F. Mandatory Quarterly Corporate Contact with the SWB Information Systems Director

1. Contact from the Corporate Office by the supervisor of the site director to the SWB Information Systems Director shall occur once every three months at a minimum.
2. The following topics shall be discussed:
 - a) General strategic goals and contract KPI status.
 - b) Any personnel issues that have occurred within the department including any issues dealing with the Site Director, along with corporate remediation plans for any personnel issues that remain unaddressed.
 - c) The status of any staffing changes, including additions requested by the Site Director.
 - d) Any current or long-term concerns that the SWB Information Systems Director may have.
3. Acceptable Methods of Communication with the SWB Information Systems Director include telephone calls, email, or in-person visits.

4. At a minimum, one annual visit by the Site Director's corporate supervisor shall be required.
5. The contractor shall be fined for each quarter in which no corporate communication, initiated by the contractor, occurs with the SWB Information Systems Director. (See Section XI – CONTRACT BENCHMARKS & FINES)

G. Replacement of any DBE subcontractor shall be for cause (financial or performance) only. The reason for the replacement shall be fully documented and explained to the SWB Information Systems Director. The prime contractor shall send a request of the change to the Board in advance of the change. If approved, the prime contractor shall present a transition plan for moving to a new DBE subcontractor.

H. Addition of a specialized subcontractor shall not impact the achievement of the total DBE participation percentage goal for this contract.

I. Work Conditions

1. All departmental employees shall adhere to the Information Systems Department policy on working from home. Telecommuting must be approved in writing, in advance by the Site Director and ISA.
2. Most contract employees will work in a centrally located office established by the Board for Information Systems; if a new location is established, the department will move accordingly. A few may be assigned to other Board sites such as the Carrollton Water Treatment Plant, Central Yard or other sites as identified.
3. Contract employees shall follow the Information Systems Department dress code regardless of work location at the Board unless special permission has been given by the Site Director or SWB Information Systems Director.
4. The Board will supply all contract employees the tools necessary to perform their jobs onsite such as PC's, desk phones, office supplies, etc. In addition, the Board *may* elect to provide certain contract employees with laptop computers for use away from the office.
5. The contractor will supply on-call contract employees with cellular phones.
6. All on-call contract employees are required to have offsite Internet access and a device capable of performing essential on-call duties.

J. Authorization / Documentation of Work - All work shall be requested and documented on the correct form. Contract staff shall work with SWB departments, where necessary, in the filling out of the Computer Center Service Request (CCSR.)

Computer Center Service Requests shall be used by SWB departments to document requests from the Information Systems Department other than Help Desk requests. Work by Information Systems Department personnel shall be documented by CCSR number. See Example of a CCSR in Appendix H and I. Call Logs shall be used by Help Desk personnel to document Help Desk requests - example in Appendix K.

1. CCSR Size and Scope Documents
2. Invgate
3. Portal Issues / Support ticket

K. Policies and Procedures - The contractor shall take lead on both creating and updating the following Information Systems policies, with final approval by the SWB Information Systems Director.

1. Updates
 - a) Disaster Recovery Policy (Annually)
 - b) Security Policies (Annually)
 - c) Data Usage (Annually)
 - d) Information Systems Standards (Annually)
 - e) Printer Policy (Annually)
2. Creating Policies
 - a) First draft due in 15 business days
 - b) Final draft due in 1 month
 - c) Time extensions may be granted by the ISA

L. Audits and Studies - The contractor shall take the lead on the Five-year Risk and Resiliency Study mandated by the 2018 Water Infrastructure Act; recommend action plans to address deficiencies discovered for the Five-year Action Plan; implement approved action plans as directed by the ISA; produce appropriate information for the annual SAS audit; and produce other reports as needed for both internal, external, and state audit requests.

M. Contract Support during Emergencies

1. Functions provided by the Computer Center employees are considered essential. During certain emergencies defined by the Board's Emergency Operations Plan, when the Emergency Operations Center has been activated, certain Computer Center personnel must stay onsite to support Information Systems functions 24 hours a day. Contract support staff will be required during those times. Board and contract staff are to be compensated at an emergency pay rate during the declared emergency. Onsite contractor employees shall be compensated no more than 12 hours per day at the emergency pay rate. A list of emergency pay rates by position must be submitted on the bid sheet for your RFP response.
2. The St Joseph Street location from which most Information Systems employees will work, has an emergency generator, cots, a shower facility, and a kitchen. The Carrollton Water Treatment Plant location will require PC technician support for the Board's Emergency Operations Center. In extreme emergencies, the Board may move the Emergency Operations Staff to its Carville, LA location and or it may move back office personnel to an out of town facility. If either situation occurs, contract staff must be available to support it. Additionally, the Emergency Operations Department has a "mobile command post" (tractor trailer with computer equipment, etc.), which may be deployed at times of emergency.

Occasionally, Information Systems employees are called on to support the “mobile command post” and may be required during its deployment.

3. Hurricanes are the most likely emergency which will require emergency staffing support; however, other situations could occur. Prior to Hurricane Season, the Site Director should meet with the Information Systems Director to determine those positions / functions needing support under a declared emergency. Based on position titles, skill levels, and the desire of personnel, the Site Director will compose 2 lists, which alternate by two-week intervals of personnel who should be available for hurricane support. Only listed persons or their alternates, if they are unavailable, will be allowed to stay onsite during the emergency. Other staff members who choose not to evacuate shall not use the building as emergency housing.
4. All Computer Center staff will receive placards identifying their essential emergency status. ER1 (Emergency Response Tier 1) placards will be issued to those employees, who might be required to provide 24-hour coverage; ER2 (Emergency Response Tier 2) placards will be issued for all other Information Systems staff. ER1 placards allow individuals to travel through roadblocks when the city has been evacuated and only emergency responders are allowed within the city. ER2 placards grant individuals the right to re-enter the city before the rest of the population can re-enter. ER2 personnel should be available to return before “regular” Board employees if requested to.
5. The Emergency Operations plan is subject to change and may be adjusted to require additional Information Systems personnel.
 - a) The Board is currently exploring options for Information Systems resiliency which may include either, or both of the following:
 - i. Local redundant data center
 - ii. Cloud-based redundancy

N. On-Call Support

Out of hours support is required via the Helpdesk line forwarded to a cell phone. The cell phone is available for calls all nights, weekends, and holidays. Based on the nature of the call, the appropriate team member is contacted for support.

O. Travel

1. Board Required Travel / Reimbursement Requirements:
 - a) If the Board requires contract personnel to travel with Board Staff, (ex: EPA meetings in Dallas, TX) the Board will reimburse the contract staff for all travel expenditures according to the Board’s travel reimbursement policy.
 - b) The Board will not reimburse for items excluded by the Board’s travel reimbursement policy such as items purchased without a receipt, rental cars (without prior approval), excessive food purchases or any alcohol purchases.
2. Mileage Reimbursement for Travel between Board Facilities:

Where contract personnel (such as PC techs, networks personnel, etc.) must drive between Board facilities to complete assignments, any mileage reimbursement shall be paid by the contractor to its personnel.

P. Notification Requirement for Cyber Security Outage

If vendor has a major security outage, the Board must be notified within 24 hours. The Board must receive third party notification of the details of the malware attack as soon as they become known. Third party clearance must be received before the Board will restore any vendor domain access.

X. RFP QUESTIONS - PROPOSER'S RESPONSES

The response to the RFP should provide a detailed description of the vendor's plans for fulfilling the contract.

A. Profile of Vendor

The Information Systems Management vendor should have the background and financial strength to provide this service and sufficient benefits to retain employees. Please provide literature on your company's background and the services being offered, indicating the types of industries and/or businesses you have served in the past. Also, each of the **following items needs to be addressed with regards to the Information Systems Management vendor. Points 1-3 below should also be addressed with regards to all subcontractors:**

1. A copy of your financial statement or other financial information detailing your financial viability. List parent company and subsidiary companies along with any affiliated companies.
2. Include the number of years the company has been in the Information Systems Management business.
3. List the total number of company employees working in the Information Systems Management business:
 - a) Full time
 - b) Part time
 - c) Under contract performing information systems management service.
4. List major employee benefits:
 - a) Health Insurance
 - b) 401-K
 - c) Parking
 - d) Other benefits.
5. Include the number of current clients and list the major clients under your Information Systems Management Agreement.
6. Include a description of previous experience with public utilities.
7. Provide customer references for at least five (5) company names, addresses and telephone numbers. Also include the name and telephone number of a contact at each of these clients.

If any subcontractor is included in the RFP response, please include 3 references for them as well.

8. The proposal must also include the following administrative data:

- a) Employer ID number.
- b) Louisiana Business License Number, and
- c) Certificate of Authority to do Business in Louisiana
Note: An application form for Certificate of Authority can be obtained from:
Secretary of State
P.O. Box 94125
Baton Rouge, LA 70804-9125
Telephone: (225) 925-4704
- d) Name and address(s) of office that will be responsible for administering this contract.
- e) Name and address(s) of principal officer(s).
- f) Name and address(s) of principal owners who hold five percent (5%) interest or more in corporation.
- g) Name and address for purpose of issuing checks and/or drafts for the Information Systems Management payment of services.
- h) If any of Proposer's personnel named in the Proposer's Response is a current or former Louisiana Agency employee, indicate the State Agency where last employed, position title, termination date and Social Security number – if not, so state.
- i) If the Proposer was engaged by any Louisiana agency within the past twenty-four (24) months, indicate the contract number and/or any other information available to identify the engagement – if not, so state.
- j) Proposer's actual State and Federal tax identification number.
- k) Verification from the proposer that the company is appropriately licensed for its domicile city – if not, so state.

9. Provide any other verifiable documentation exhibiting the proposer's ability to meet the information systems management agreement.

The Proposer shall provide the most recent audited annual report, or other evidence of the Proposer's financial status, sufficient to demonstrate the Proposer's financial ability to carry out the contract. Proposals shall include proof of the Proposer's financial soundness and successful Information Systems Management projects of a like size and scope. All evidence under this requirement shall be in sufficient detail to allow an adequate evaluation by the Board. Acceptable evidence shall include, but shall not be limited to, recent financial statements or written statements from the Proposer's bank evidencing their good standing.

If the proposers or their sub-contractors have any current or past involvement in litigation in relation to the Information Systems Management work areas, information and status shall be included in this section. If none – so state.

B. Qualifications of Vendor

The vendor will supply all personnel required to perform the information systems management services. These qualified individuals shall be authorized or permitted under state and local law to perform such services.

Please address and provide the following information:

PERSONNEL OF VENDOR

1. The vendor must provide an organizational chart describing how it foresees its management of the data processing operations of the Board.
2. The vendor must provide the names of the individuals to fill the positions in the organizational chart and include the related resumes of these individuals.
3. The vendor must provide job descriptions for each vendor position in the organizational chart, which will be used by the vendor as a standard of qualifications for personnel replacement purposes.
4. In order to ensure compliance with the State of Louisiana Code of Governmental Ethics, the vendor must disclose if any of the individuals to serve during this contract have been employees in public service (whether state, municipality, parish, etc.) in Louisiana within the past two years. If any have been, please provide information pertaining to position held, agency employed, department assigned, and length of employment.
5. The vendor must provide its personnel replacement procedures when turnover occurs.
6. The vendor must provide the method and/or procedure to train personnel in order for them to remain current with the new hardware and/or software products incorporated into the facility site. Describe your internal requirements regarding training/continuing education courses.
7. The vendor must provide positive affirmation that replacement vendor personnel serving the Board during the contract period can only be made after approval of the ISA.
8. The vendor must provide positive affirmation that personnel included in the proposal are available for the contract and expected to be assigned to this contract.

C. Method of Organization and Staffing

1. Describe the method for the organization and management of the Information Systems installation, the assignment of responsibilities, and the Information Systems control function. Staffing must include the budgeted Board employee positions, as per Section VIII A 2. The cost of these Board employees will be borne directly by the Board. The Board anticipates the continuation of the two current positions (Information Systems Administrator, and IT Supervisor/ Requested USSM) and all requested IT Analysts outside the scope of the vendor's management. A proposed organizational chart must be included.

2. Detail your understanding and compliance with the board's requirements for:
 - a) Adding positions to the contract
 - b) Recommend staffing changes
 - c) Hiring
 - d) Terminations.
3. Explain how operating procedures are documented, including specifications for machine operation, hardware maintenance, scheduling, file retention, housekeeping, job record-keeping, emergency procedures, and physical security.
4. List suggestions for updates and/or specifications for a disaster recovery plan, including testing.
5. Provide criteria for segregation of functions between Information Systems and users.
6. Describe the methodology to address strategic, long-range planning and how it would apply to the Board.
7. Explain your methodology of training your users. As technology evolves, there are many major and minor impacts to the current programs and procedures which will require notification and training of Information Systems personnel. The Board is responsible for training its own employees. The Board expects all Information Systems contractors to maintain knowledge of current technologies and track future technology trends in order to provide guidance and planning for future technology improvements.

Address such issues as:

- a) Organization or Method of Training
- b) Responsibility for Training, including range and level
- c) Relationship of Documentation to Training
- d) Annual training budget for contractors
- e) Development of annual training plan for contractors.

D. Operations

1. Describe your understanding of the operations services required and your approach to providing those services.
2. Address the method and frequency of installing current release levels of the operating system software to assure that this software will be kept current within a six (6) to twelve (12) month period, based on Board approval.
3. Note your method of installing and testing these new releases as not to impact

production and to assure that the installation was performed correctly.

E. Maintenance

1. Describe your understanding of the scope of the maintenance services required and your overall approach to providing those services.
2. Explain your methodology of maintaining current applications with the current hardware and software (either installed or under development applications), as described above in Sections VIII B, VIII C, VIII D and VIII E; describe your method of maintaining these applications, addressing such issues as:
 - a) Users' requests for maintenance;
 - b) Size and scope of request;
 - c) Approval procedure to implement request;
 - d) Feedback to users and management as to status of request;
 - e) Documentation standards to be used for programs modified, enhanced, or developed to satisfy a maintenance request:
 - i. Timeliness of Documentation;
 - ii. Responsibility of Documentation;
 - iii. Distribution of Documentation.
 - f) Programming standards utilized during maintenance process.
3. Explain your methodology of testing modifications to current applications and user sign-off. Testing can be one of the most time-consuming tasks in the maintenance process. There are also many levels of testing involved in order to verify that the maintenance request was correctly completed.

Address such issues as:

- a) Levels of testing incorporated in your procedures;
- b) User verification process and user sign-off procedure;
- c) Batch vs real-time testing procedures.

F. New Development

1. Describe your understanding of the Board's requirements in distinguishing maintenance and new development.
2. Describe your understanding and approach to systems development.
 - a. Provide detailed descriptions of your methodologies, software tools, documentation, cost impact studies, work plans and system development life cycle.
 - b. Your response should include a positive statement detailing your understanding of the Board's ownership of the software developed.

3. Describe your approach to project management:
 - a. List any subcontractor(s) you plan to use for this function.

G. Personal Computers

The Board will review all recommended PC hardware and software standards and approve all PC hardware and software purchases. The Information Systems Management vendor will need to provide installation, user support, application development support and local area network support. The vendor should describe its methods and approach to providing this support. The vendor is expected to make recommendations regarding hardware and software purchases and standards; however, the Board will make all final decisions.

H. PC Support

Describe your understanding of and your methodology for staffing and performing PC Support functions of the Information Systems department as described in Section VIII H and VIII I.

I. Network Administration

Describe your understanding of and your methodology for staffing and performing Network Administration functions of the Information Systems department as described in Section VIII H and VIII I.

J. Applications

Describe your understanding of and your methodology for staffing and performing Application support functions of the Information Systems department as described in Section VIII H and VIII I.

K. Help Desk

Describe your understanding of and your methodology for staffing and performing Help Desk functions of the Information Systems department as described in Section VIII H and VIII I.

L. SCADA Application Support

Describe your understanding of and your methodology for staffing and performing this function of the Information Systems department as described in Section VIII.D.

M. Account Management

Describe your understanding of the Account Manager's role. Detail the amount of time the Account Manager and Assistant Account Manager will spend on-site working on Information Systems management at the board.

Explain your project management approach for requests for maintenance, new development and operations. Describe the frequency and type(s) of status reports which will be presented to both the User (requestor) and Board Management in order to identify its progress and completeness of the project. Also describe how you will determine if the completed project or user request has met the system specifications.

N. Training

Annual Training Plan from Contractor(s) with Recommendations for Training Board Employees

The contractor is required to provide adequate training of their employees to accommodate the Information Systems Departmental Duties as defined in Appendix P. Additionally, the Board requires the contractor to make recommendations for training of SWB employees in Information Systems.

SWBNO is requiring the contractor to provide a detailed training plan to be included in the proposal, specific items to cover include:

- Technical training, not business requirements.
- Site Manager should recommend a training plan for project managers and above.
- The plan should specify training hours per position to accommodate the Information Systems Departmental Duties and should also include "emergency" amounts for projects that come up without warning.

During the course of the contract, the IT Director will review training plans annually.

O. Other Information

Provide any additional information that you feel demonstrates your thorough understanding of the Scope of Services included in this Proposal. In addition, include any proposals for enhancements not currently required by the RFP.

1. Projects Underway / Near Term

The Board has several major projects currently underway or planned to begin in 2019-2024, which may necessitate contractor support during the development and or maintenance phase. They include, but are not limited to:

- a) Enhancement of CIS system:
 - i. Implementation of Desktop Assistant software;
 - ii. Streamlining of processes and procedures;
 - iii. Deployment of kiosks;
- b) Outsourcing of bill printing;
- c) Selection of AMI Vendor for system-wide replacement of standard meters with AMI meters;
- d) Implementation of Softco, an automated accounts payable system;
- e) Implementation of White Birch, financial modeling software;
- f) Implementation of new Financial system;
- g) Transitioning to more regular hardware replacement cycles for all computer hardware (servers, PC's, printers, routers, etc.);
- h) Deployment of additional security camera systems (requiring It to provide server hardware and software);
- i) Expansion of all technology security areas in Information Systems Department;
- j) Expansion of GIS services offered to various Board departments. Additional GIS Information Systems positions may eventually be necessary.
- k) Develop and implement Information Systems Business Continuity and Disaster Recovery;
- l) Selection and implementation of a Replacement for Cass Works CMMS System; integration of new system with GIS during implementation;
- m) Investigation of Document and Records Management practices at the Board; develop strategic direction; implementation of those decisions.

2. Future Projects

The Board has several major projects planned for the future, which may necessitate contractor support during the development and or maintenance phase. They include moving the Datacenter and Computer Center Personnel to a resiliency center proposed at the Carrollton Water Treatment Plant

P. Transition Procedures

The Board's Information Systems Department is an established on-going multi-shift operation. As the Board provides critical services to the City of New Orleans and operates 24/7/365, all standard Operations and Maintenance as described in section VIII H in must continue with no gap in services throughout the transition period, in order to facilitate the continuous operation of Board systems. The selected vendor must be prepared to provide all services on Day 1 of the end of the transition period. Since the current contractor provides almost all information systems services for the Board, the Board itself will be unable to provide any training to aid in the transition to formal contract operations.

Please describe your approach to transition procedures, which may be required including the following description of your overall approach and the estimated resources required.

1. Transition Time Required

Describe the method of determining the amount of transition time required and the extent of involvement required of the current information systems manager to implement a smooth transition. Also, provide the number, names, and positions of your personnel that will make up your transition team.

2. Transition Methodology

Describe your past methodology of Information Systems Management transition in each of the following areas:

- Computer Operations
- Maintenance
- New Development

Also, detail the timing of transition procedures and provide a work plan for the transition procedures.

3. Transition Procedures

- a) The vendor must provide a time line for its transition, including initiation date, significant functions/steps, and completion date for the vendor as well as the time expected and functions to be performed by the current vendor.
- b) The vendor must provide procedures for completing background checks and badging of all employees and the assurance that the contract will be fully staffed upon institution for the contract period.
- c) The Board anticipates, that the vendor will begin serving as information systems manager Spring, 2020 and at that time fully staff the positions called for in the contract.
- d) The vendor must provide a transition team to be able to begin work with the Board's staff within one week after the execution of the contract to begin its transition phase.

Q. Pricing Requirements

1. Operations

The current operations of the Board are described in section VIII H Operations and Maintenance and include the processing of the existing applications of the Board on the existing hardware, most of which are outlined in sections VIII B Hardware (Existing), VIII C

System Software (Existing) and VIII E Applications (Existing). The vendor will need to consider in its pricing of the operations requirements the impact of new development of hardware and systems software on the current operations of the Board. Availability of all on-line systems is described in section VIII H Operations and Maintenance. New development must be scheduled through Operations in order to obtain a proper balance between production, new development and maintenance.

The vendor must perform the following activities with the current staff at no extra expense to the Board:

- Initial Investigation/Criteria
- Feasibility Study
- Size and Scope
- Existing System Review

(If the Board decides to proceed after the above review, determination of New System Requirements will begin the New Development phase of the Project and be performed by Project Management staff.)

The costs for operations to be borne by the Board include operation supplies such as paper, ribbons, and magnetic tapes, space to house equipment and operations personnel, utility charges, and similar other expenses. Expenses to be borne by the vendor include vendor personnel payroll costs, required insurance coverage, and similar other expenses.

The following should be considered when pricing the operations requirements for this contract. All full-time positions shall be based upon a 40-hour billable work week. The pricing requirement for operations is a fixed monthly charge. The Board will not pay any overtime to the vendor in its performance of the operations requirements. No additional billings for the performance of operations will be accepted. All holidays observed by the Board's personnel may be observed by the vendor's personnel. The vendor shall provide the number of vendor personnel for each position and the rate per hour for these positions.

2. Maintenance

Currently, the Programmer/Analyst staff is divided into teams by the application system. Each team currently performs the maintenance and new development efforts for the Board's data processing systems.

The vendor must perform the following activities with the current programmer analyst staff at no extra expense to the Board:

- Initial Investigation/Criteria
- Feasibility Study

- Size and Scope
- Existing System Review

(If the Board decides to proceed after the above review, determination of New System Requirements will begin the New Development phase of the Project and be performed by Project Management staff.)

Maintenance is described in Section VIII H Operations and Maintenance. The systems to be maintained are outlined in section VIII E Applications (Existing). All new development becomes maintenance after project acceptance. The maintenance requirements also include the following functions and services of the Information Systems Management vendor:

- a) Estimating time required to complete maintenance requests.
- b) Documenting all modifications and providing audit trails of all modified applications.
- c) Testing all modifications before user sign-off of maintenance requests.
- d) Notifying and training users on the new features, enhancements and additional functions.
- e) Necessary account and status reports as requested by the Board (Monthly, quarterly, annually).

The pricing requirement for maintenance is a fixed monthly charge. With the exception of declared emergency support, the Board will not pay any overtime or premium to the vendor in its performance of the maintenance requirements. No additional billings for the performance of maintenance will be accepted.

The following should be considered when pricing the maintenance requirements for this contract. All positions shall be based upon a 40-hour billable work week. The vendor shall provide the number of vendor personnel for each position and the rate per hour for these positions.

Estimated resources to perform the Operations and Maintenance functions.

Provide two sheets covering each of the pricing requirements (Operations, Maintenance, and New Development:)

- 1) The **main proposal** should include a list of resources **without specifying the price**.
- 2) The **second copy**, consisting of the resource list and **full pricing details**, should be included in a **separate envelope, along with any other pricing details**, to be reviewed after the initial RFP grading.

Operations, Maintenance, and New Development Rates

Position	Number Vendor Personnel	Hourly Rate Per Resource
Project Manager		
Project Leader		
Programmer/Analyst		
System Programmer		
Operator		
PC Network Technician		
PC Network Administrator		
Technical Writer		
Computer Center Manager		
Computer Center Manager Assistant		
Data Base Administrator		
GIS Manager		
GIS Coordinator		
GIS Programmer		
GIS Sr. Programmer		
GIS Technician		
GIS Analyst		
GIS Sr. Analyst		
GIS Data Administrator		
SCADA Systems Engineer		
Security Analyst		
Sr. Security Analyst		
Sr. Regional Consultant (no travel expenses bundled)		
Regional Consultant (no travel expenses bundled)		
Regional Consultant Assistant (no travel expenses bundled)		
Sr. Consultant (blended rate with travel expenses included)		
Consultant (blended rate with travel expenses)		
Consultant Assistant (blended rate with travel expenses)		
Other (Please List)		
Fixed Monthly Charge*		
Fixed Annual Charge*		

***Fixed Monthly Charge:**

((Number of Full Time Equivalent Personnel X Hourly Rate x 8 Hours x 261 days)/12)

***Fixed Annual Charge: Fixed Monthly Charge X 12**

The Board reserves the right to reject any proposal submitted which has not included the required information in the above format.

Emergency Rates:

Emergency Pay rates will apply for formally announced emergencies, where the Emergency Operations Center has been activated, or for emergencies where the Executive Director approves emergency pay. Emergency Rates will be utilized outside of normal business hours. Please see Section IX VENDOR REQUIREMENTS.

Provide two sheets covering each of the pricing requirements (Emergency.)

- 3) The **main proposal** should include a list of resources **without specifying the price**.
- 4) The **second copy**, consisting of the resource list and **full pricing details**, should be included in a **separate envelope, along with any other pricing details**, to be reviewed after the initial RFP grading.

Position	Emergency Hourly Rate per Resource
Project Manager	
Project Leader	
Programmer/Analyst	
System Programmer	
Operator	
PC Network Technician	
PC Network Administrator	
Technical Writer	
Computer Center Manager	
Computer Center Manager Assistant	
Data Base Administrator	
GIS Manager	
GIS Coordinator	
GIS Programmer	
GIS Sr. Programmer	
GIS Technician	
GIS Analyst	
GIS Sr. Analyst	
GIS Data Administrator	
SCADA Systems Engineer	

Security Analyst	
Sr. Security Analyst	
Sr. Regional Consultant (no travel expenses bundled)	
Regional Consultant (no travel expenses bundled)	
Regional Consultant Assistant (no travel expenses bundled)	
Sr. Consultant (blended rate with travel expenses included)	
Consultant (blended rate with travel expenses)	
Consultant Assistant (blended rate with travel expenses)	
Other (Please List)	

3. New Development

New Development is described in Section VIII I New Development. The Vendor will price New Development at the time of the Board's request for services for New Development. Since the pricing for new development will be on an as-requested basis, the vendor need only provide the hours required for each position at the time of the request. The rates previously provided for the maintenance and operations portion of the proposal will be used for new development. Overtime premium rates will not be paid.

The level of initial new development staffing will be determined by the Information Systems Director during the period.

In addition to the above, we are requesting that the vendor positively affirm its understanding of each of the following items:

- that it will submit pricing for new development as requested by the Board; regardless of the method of quoting price, the vendor will provide the anticipated man hours/man days and address the impact of the new development on maintenance and operations.
- Hourly rates with a maximum total cost - weekly time sheets may be required for each individual on the new development project to the ISA or a designee for review and approval prior to payment.

NOTE: Project acceptance occurs after the system has been operational for a sixty-

day period and signed-off by the senior manager of the user department(s) and the ISA as being complete.

XI. CONTRACT BENCHMARKS & FINES

Following are critical SWBNO contract requirements. If not met, fines will be assessed against the information systems management contractor.

A. Annual Training Plan from Contractor(s) for Project Managers, with Recommendations for Training Board Employees

- No training plan or review of employee: \$500 per contractor
\$100 per Board employee
- Per class per employee missed: \$250

B. Leave “Without Pay” and contractor communicating replacement timeframe to the Information Systems Director. Billings for non-attendance will be deducted from the Operations and Maintenance payment.

C. Corporate Contacts

- The contractor shall be fined \$2,500 for each quarter in which no corporate communication, initiated by the contractor, occurs with the Information Systems Director.
- The contractor shall be fined \$5,000 per contract year for any year in which no corporate visit to New Orleans occurs for the purpose of communication with the ISA and meeting with all SWB Information Systems Staff.

4. Local Contract Management Contacts / Meetings:

- Bi-Weekly updates with Site Manager.
 - Fine after missing 2 consecutive meetings, unless approved by Information Systems Administrator: \$250 per occurrence
- Quarterly Meeting w/ Site Manager and DBE Corporate Office: \$500
- Contractor is required to conduct monthly project leader meetings, with representation from each group in attendance.
 - Fines will be applied after missing 2 consecutive meetings: \$250 per occurrence.
- Monthly Staff Meetings.
 - Fines will be applied after missing 2 consecutive meetings: \$500 per occurrence.

5. System Uptime must have the highest priority. Contractor must respond to critical outage within one hour. Outages for which no response occurs within one hour shall be fined \$1,000 per occurrence unless it can be demonstrated satisfactorily to the Information Systems Administrator that response was impossible.

6. Staff Availability

1. Extended Position Vacancy
 - Billing for all vacancies shall cease immediately upon their occurrence. Every attempt should be made to fill any vacancy on the contract within three (3) months. Contractors should simultaneously pursue staffing the vacancy from within the contract while advertising outside the company. If online advertising has failed to identify viable candidates by the second month of the vacancy, the contractor shall advertise in the New Orleans Advocate.
 - If position is vacant beyond 3 months the contractor shall be penalized by 25% the position rate (21 days x 8 hours x Rate x .25) in the fourth month.
 - If position is vacant beyond 6 months the contractor shall be penalized 50% the position rate (21 days x 8 hours x Rate x .50). These penalties shall be deducted from the contract until the position is filled.
 - If position is vacant beyond 3 months, the Board may obtain services from another vendor until contractor is able to fill the position. The above penalties will still apply until the contractor is able to fill the vacancy.
2. Assigned work and/or work requests must be reported via CCSR's and Call Logs.
3. Contractor must review annually Information Systems policies and procedures and apply updates as necessary. Fine for no annual update: \$1,500.
4. Contractor must review annually the Information Systems Disaster Recovery Plan and recommend enhancements to the plan and apply updates where necessary. Fine for no annual update: \$5,000.
5. Project Managers and Site Director shall submit work plans to aid in the preparation of the following year's capital and O&M budgets. The fine for not preparing the work plan or not meeting the initial deadline for completion of the plans shall be \$250 per Project Manager. Work Plans will be updated each quarter (1st, 2nd, 3rd and 4th) as to the status of all items on each work plan. Late or incomplete work plans shall incur a fine of \$100 per project manager.
6. Weekly project status reports shall be completed by each project manager. \$100 fine shall be levied for each week that the status report is not presented to the Information Systems Administrator.
7. A fine of \$20,000 shall be levied if 6 or more contract employees leave the department over a two- week period due to substantial changes in their contract or changes by the contractor.
8. Furlough of an employee shall reduce the contract by the full O&M rate for the period of the furlough, for that employee.

The table, below, shows abbreviated descriptions and the appropriate fines:

Description	Per	Fine
Annual Training Plan	Project Manager	\$500
Annual Training Plan	Board Employee	\$100
Training Class Missed	Employee	\$250
Leave without Pay for Employee	Employee with Leave without Pay	Billings reduced by cost of missed hours
No Corporate Communication	Quarter	\$2,500
No Corporate visit to New Orleans	Year	\$5,000
Twice Weekly Site Manager Mtgs	After 2 Consecutive Missed	\$250 per occurrence
Quarterly Meeting w/Site Manager and DBE Partner	Missed Meeting	\$500
Monthly Project Leader Meetings	After 2 consecutive missed meetings	\$250 per occurrence
Monthly Staff Meetings	After 2 consecutive missed meetings	\$500 per occurrence
1 hour Response Time for Critical Systems	Unless demonstrated to ISA that response time was impossible	\$1,000
Extended Vacancy	0-3 months	No pay for position
Extended Vacancy	3-5 months	No pay + 25% penalty of monthly value of position. Board may pursue alternative staffing method until position is filled by contractor.
Extended Vacancy	6 months+	No pay + 50% penalty of monthly value of position. Board may pursue alternative staffing method until position is filled by contractor.

Annual Review and Update of Information Systems Policies and Procedures	No annual update	\$1,500
Annual Review and Update of Disaster Recovery Plan	No annual update	\$5,000
Project Leader and Site Director Work Plans	No Plan, per Project Manager	\$250
Project Leader and Site Director Work Plans	Quarterly Reviews late, per Project Manager	\$100
Weekly Project Status Reports	Week not presented to ISA	\$100
6 or more employees leave within one- month period due to contract changes		\$20,000
Furlough of an employee	Employee	Payment will be reduced by the full O&M rate for the period of the furlough.

XII. SEWERAGE AND WATER BOARD POLICIES & PROCEDURES

INSURANCE – Refer to Appendix C for Insurance requirements.

INDEMNIFICATION – To the fullest extent permitted by law, the Vendor shall indemnify, hold forever harmless, and defend the Board, its officers, agents, employees, representatives, and insurers from and against any and all claims, demands, suits, money judgments, costs and expenses arising out of any accident, injury or damage to loss of property or life or personal injury during the performance of this contract, growing out of, resulting from or by reason of any act or omission by the contractor; its agents or employees, to the extent caused or contributed by the Vendor, his agents or employees.

Vendor shall further indemnify and hold harmless the Board from any and all claims and liens for labor, services or materials furnished to the contractor in connection with the performance of this contract.

Limitations by statute as to workers' compensation or any other benefits payable by or on behalf of the contractor to any injured party shall not limit the contractor's indemnification of the Board under this agreement.

WORKERS COMPENSATION – refer to Appendix B for Workers Compensation requirements.

EXCLUSION OF UNEMPLOYMENT COMPENSATION COVERAGE – Vendor herein expressly agrees and acknowledges that it is an "independent contractor" as defined in LSA-R. S. 23:1472 (E), that neither the Vendor nor any one employed by the Vendor shall be considered an employee of the Board for the purpose of unemployment compensation coverage.

DRUG FREE POLICY - Refer to Appendix D for Drug Free Policy requirements.

DISADVANTAGE BUSINESS ENTERPRISE PROGRAM (DBA) POLICY - refer to Appendix E for requirements.

SAFETY POLICY - refer to Appendix F for requirements.

RIGHT TO AUDIT - refer to Appendix G for requirements.

CCSR MAINTENANCE & NEW DEVELOPMENT - refer to Appendix H for example.

CCSR PRODUCTION - refer to Appendix I for example.

CALL LOG - refer to Appendix K for example.

DISQUALIFICATION- The Board has the right to disqualify any vendor who fails to comply with Board policies, who does not accept the policies and/or who does not waive all rights to

subrogation against the Board.

LICENSES-The vendor must provide or state that it will obtain all licenses and other documents necessary to perform business in the State of Louisiana.

Termination for Convenience - The Board may terminate this Agreement at any time during the term of the Agreement by giving the Vendor written notice of its intention to terminate at least sixty (60) days before the intended date of termination. In the event Board elects to terminate for convenience, the Board shall be obligated to pay Vendor only for those services performed up to and through date of termination.

Termination for Cause - The Board may terminate this Agreement immediately for cause. "Cause" includes, without limitation, any failure to perform any obligation or abide by any condition of this Agreement, including without limitation failure to comply with the requirements of the Board's Economically Disadvantaged Business Enterprise program. If the Vendor challenges a termination for cause by the Board and prevails, the termination for cause will be deemed to be a termination for convenience and shall be effective thirty (30) days from the date that the original written notice of termination for cause was given to the Vendor and no further notice shall be required.

Invoices - On a monthly basis, the Vendor will submit to the Board one (1) original invoice with any of back-up or verification documentation required by the Board. The invoices will be in a format previously approved by the Board and must show at a minimum all services performed in the prior month, all time expended in the performance of those services, the rates for each service provided, the costs for which the Vendor seeks reimbursement, and the amount that the Vendor claims is due for those services. If New Development work has been done, it shall be invoiced separately with all verification and documentation required by the Board.

Sexual Harassment - Sexual harassment is a serious offense. Vendor shall investigate any of its employee complaints regarding sexual harassment. Any employee who engages in such conduct or encourages such behavior by others shall be subject to disciplinary action, including possible dismissal from the vendor's service. Harassment may take many forms, including but not limited to: Verbal Harassment, Physical Harassment, Visual Harassment, Sexual Harassment and Hostile Environment. This policy derives its authority from the U.S. Department of Labor Manual Series 4 (DLMS 4) Personnel Management: Chapter 700 - Harassing Conduct in the Workplace, as well as Title VII of the Civil Rights Act of 1964.

Non-Discrimination - In the performance of this Agreement, the Vendor will not discriminate on the basis, whether in fact or perception, of a person's race, color, creed, religion, national origin, ancestry, age, sex (gender), sexual orientation, gender identity, domestic partner status, marital status, physical or mental disability, or AIDS- or HIV-status against (1) any employee of the Board working with the Vendor in any of Vendor's operations within Orleans Parish or (2) any person seeking accommodations, advantages, facilities, privileges, services, or membership in all business, social, or other establishments or organizations operated by the Vendor. The

Vendor agrees to comply with and abide by all applicable federal, state and local laws relating to non-discrimination, including, without limitation, Title VII of the Civil Rights Act of 1964, Section V of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990.

Non-Discrimination in Employment – In all hiring or employment made possible by, or resulting from this Agreement, there (1) will not be any discrimination against any employee or applicant for employment because of race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry, and (2) where applicable, affirmative action will be taken to ensure that the Vendor's employees are treated during employment without regard to their race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry. This requirement shall apply to, but not be limited to the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. All solicitations or advertisements for employees shall state that all qualified applicants will receive consideration for employment without regard to race, color, religion, gender, age, physical or mental disability, national origin, sexual orientation, creed, culture, or ancestry. The Vendor will require all subcontractors to comply with the requirements of this article.

XIII. EVALUATION CRITERIA

The Contract Administrator must establish a Selection Evaluation Committee with relevant subject-matter expertise to review and evaluate Responses to the RFP in accordance with the Sewerage and Water Board's Professional and Personal Services Procurement Policy Memorandum No. 95.

The Selection Evaluation Committee shall first evaluate the proposals on the basis of criteria other than price. The members of the Selection Evaluation Committee shall either complete the numerical grading and provide a written explanation stating the reasons for the rating for each criteria, or, if using the wholly qualitative evaluation criteria, the members shall provide a rating of a proposal as highly advantageous, advantageous, not advantageous, or unacceptable and state the reasons for the rating for each criteria.

The Selection Evaluation Committee will evaluate, grade, and rank Responses based on the following technical criteria according to the principles of the Sewerage and Water Board's Professional and Personal Services Procurement Policy Memorandum No. 95.

<u>RFP CATEGORY</u>	<u>Value %</u>
Proposal Content	20%
A. Method of Organization and Staffing	
B. Operations	
C. Maintenance	
D. New Development	
E. Personal Computers	
F. Help Desk	
G. Account Management	
H. Other Information	
Specialized Experience and Technical Competence	15%
A. Resumes of individuals available for this contract	
B. Job descriptions of each position	
C. Personnel availability and personnel back-up	
D. Personnel replacement approval procedure	
E. Upgrading and training of your personnel	
F. Public Utility experience	
Performance History, including cost control, work quality and ability to meet schedules and deadlines	10%
A. Customer references	

Location of firm in New Orleans **5%**

Company size and Capability of Completing the work in a timely fashion **15%**

- A. Financial statement or assets, list parent company and subsidiary companies and affiliates
- B. Years in Information Systems Management business
- C. Number of employees in information systems management at corporate
- D. Number of current/active information systems management contracts

Anticipated Transition Plan and provisions for ensuring adherence to project implementation schedule **15%**

Economically Disadvantaged Business Participation **5%**

Fees and Costs for Proposed Service **15%**
(Note: all pricing information should be submitted in a separate envelope)

Total value **100%**

The Proposal will be evaluated in light of the material and substantiating evidence presented to the Board, not on the basis of what may be inferred.

The Board reserves the right to request in-person interviews during the evaluation.

XIV. APPENDIXES

APPENDIX A. PROPOSAL COVER SHEET

RFP Number: _____ **Total Amount of Proposal: \$** _____

Project Title: _____

Proposer:

Company Name: _____

Company Address: _____

Proposer's Contact Person:

Name: _____ Title: _____

Address: _____

Telephone No.: (____) _____ FAX No.: (____) _____

Subcontractors (add lines as necessary):

<u>Name</u>	<u>Written commitment attached (Y/N)</u>
_____	_____
_____	_____

I hereby certify that:

1. This proposal will remain in effect for at least ninety (90) days from _____.
2. I possess an established system of accounting and financial controls adequate to permit the effective administration of this contract or willingness to modify the present system to meet SWBNO requirements.
3. I will be ready and able to begin work within ten (10) days after contract award.
4. I am authorized to represent and can commit the organization to all provisions of this proposal.

Signature

Date

APPENDIX B: WORKER'S/UNEMPLOYMENT COMPENSATION

INDEMNIFICATION / WORKERS' COMPENSATION / UNEMPLOYMENT COMPENSATION

To the fullest extent permitted by law, the Contractor shall indemnify, hold forever harmless and defend the Board, its officers, agents, employees, representatives and insurers from any and all claims, demands, suits, money judgments, costs and expenses arising out of any accident, injury or damage to loss of property of life or personal injury during the performance of this contract, growing out of, resulting from, or by reason of any act or omission by the Contractor, its agents or employees.

The Contractor shall further indemnify and hold the Board harmless from any and all claims and liens for labor, services or materials furnished to the Contractor in connection with the performance of this contract.

Limitations by statute as to workers' compensation or any other benefits payable by or on behalf of the Contractor to any injured party shall not limit the Contractor's indemnification of the Board under this agreement.

WORKERS' COMPENSATION

The vendor expressly agrees and acknowledges that he is an "independent contractor" as defined in LSA-R.S. 23:1021 (6). That its employees shall not be considered employees of the Board for workers' compensation coverage, and that the Board shall not be liable to the vendor or its employees for any workers' compensation benefits or coverage.

EXCLUSION OF UNEMPLOYMENT COMPENSATION COVERAGE

Vendor herein expressly agrees and acknowledges that he is an "independent contractor" as defined in LSA-R.S. 23:1472 (E), that neither the vendor nor anyone employed by the vendor shall be considered an employee of the Board for the purpose of unemployment compensation coverage.

WAIVER OF BENEFITS

The Vendor, as an independent contractor, will not receive from the Board any sick and annual leave benefits, medical insurance, life insurance, paid vacations, paid holidays, sick leave, pension, or Social Security for any services rendered to the Board under this Agreement.

APPENDIX C: INSURANCE

The Vendor shall maintain at his own expense and in good standing, such insurance as will protect himself, the Sewerage and Water Board of New Orleans (the Board), the City of New Orleans (the City), their officers, officials, employees, boards, commissions, and volunteers, as well as any sub-contractors, including any sub-contractor performing shipping and delivery as a part of this transaction, from and against any and all claims for damages to public or private property or personal injury, including death, to employees or the public, which may arise from any operations under this contract or any of its subcontracts. The coverage shall contain no special limitations on the scope of protection afforded to the Board or the City. Both the Board and the City shall appear as "Additional Insured" on all Commercial General Liability and Business Automobile Insurance. Any failure to comply with reporting provisions of the policy shall not affect coverage provided to the Board or the City, their officers, officials, employees, boards and commissions, and volunteers.

The vendor insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.

The Vendor, any sub-contractor, and their insurers shall agree to waive all rights of subrogation against the Board, the City, and their officers, officials, employees, boards and commissions, and volunteers for losses arising from work performed by the vendor for the Board and the City. Each insurance policy required by this contract shall be endorsed to state that coverage shall not be suspended, voided, canceled by either party, or reduced in coverage or limits except after thirty (30) days' prior written notice by certified mail, return receipt requested has been given to the Risk Manager of the Sewerage and Water Board of New Orleans.

In general, insurance is to be placed with insurers with an A.M. Best's rating of A- : V, although this requirement may be reviewed and modified by the Risk Manager of the Sewerage and Water Board of New Orleans in the best interest of the Board. The Risk Manager may also consider performing such review upon the request from the contractor. The contractor shall furnish the Sewerage and Water Board of New Orleans with certificates of insurance affecting coverage required by this contract.

The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. The certificates of insurance are to be received and approved by the Risk Manager of the Sewerage and Water Board of New Orleans before work commences. The Sewerage and Water Board of New Orleans reserves the rights to require complete, certified copies of all required insurance policies at any time.

The following are the minimum types of insurance policies and the minimum limits of insurances coverage, which shall be maintained by the Contractor during the entire term of this Contract:

- A. WORKERS' COMPENSATION AND EMPLOYERS LIABILITY INSURANCE**, as will protect him from claims under Workers' Compensation Laws. The Workers' Compensation section of the policy shall afford Statutory Limits and be in accordance with all Louisiana Workers' Compensation Statutes. The Employers Liability limit shall not be less than \$1,000,000 each accident for bodily injury by accident and \$1,000,000 each employee/policy limit for bodily injury by disease. Whenever any vessel or floating equipment is involved, the insurance shall afford coverage under the Federal Longshoremen's and Harbor Workers' Act, and shall include protection for injuries and/ or death to Masters and

Members of the crews of vessels with statutory limits in accordance with the Jones Act.

- B. COMMERCIAL GENERAL LIABILITY INSURANCE**, with a limit of not less than \$2,000,000 each occurrence and \$4,000,000 general aggregate including Explosion, Collapse, and Underground Property Damage Hazards. The Products-Completed Operations aggregate limit shall not be less than \$2,000,000 each occurrence. The general aggregate limit shall apply separately to this project.
- C. BUSINESS AUTOMOBILE INSURANCE**, which shall cover liability arising out of any auto (including owned, hired, and non-owned autos). The limit of liability shall not be less than \$1,000,000 each accident for all injuries, property damage, and/ or death resulting from any occurrence.
- D. PROFESSIONAL LIABILITY INSURANCE**, which shall cover wrongful acts that include any actual or alleged breach of duty, neglect, error, omission, breach of confidentiality or personal injury. The limit of liability shall not be less than \$2,000,000 each occurrence and \$4,000,000 aggregate.

In addition, the Vendor shall be required to furnish the Risk Manager of the Sewerage and Water Board of New Orleans all copies of investigative reports with regard to any and all claims filed with the Vendor and his insurance carriers relative to the contract. With the exception of claims filed against their Workers' Compensation Insurance.

Such reports shall include date, location, and description of loss as well as amount of settlement or judgments in order that annual aggregate limits may be monitored by the Sewerage and Water Board of New Orleans for the Vendor's compliance with these specifications.

The furnishing of insurance as provided above shall not relieve the Vendor of his responsibility for losses not covered by insurance. Prior to the signing of the contract, evidence of all applicable insurance satisfactory to the Board shall be filed with the Risk Manager of the Sewerage and Water Board. All policies shall be in insurance companies authorized to do business in Louisiana and shall remain in full force and effect until the final completion of the work and acceptance thereof by the authority of the Board.

The Vendor and/or their insurer shall notify the Risk Manager or the Sewerage and Water Board of New Orleans at least thirty (30) days in advance of any insurance coverage to be cancelled or of any insurance coverage that will expire. The Vendor shall simultaneously furnish the Board evidence of new coverage to be effective the same day and hour of the expired or canceled coverage. In event the Vendor fails to submit this evidence of new coverage five (5) days prior to cancellation date or expiration date of any policy or policies, the Sewerage and Water Board will obtain the required coverage to become effective on the date of cancellation or expiration of said policies. The cost of such new coverage shall be at the expense of the Vendor and any expenditure incurred by the Board for this coverage will be deducted from any balance due to the Vendor. Should the Board be able to secure new coverage to take the place of the expired or canceled policy or policies, a "stop work", order will be issued and all work on the contract shall cease on the same date and hour as the coverage ceases. Should the Vendor fail or refuse to secure coverage within five (5) days after the date of the "stop work" order, then in such case the Vendor shall be declared to be in default, and the contract between the parties shall be considered canceled and of no force or effect between the parties reserving all rights of the Board against the Vendor and his surety.

If this transaction requires the Vendor or any sub-Contractor's employees to enter Sewerage and Water Board facilities or job sites, a senior employee of the contractor will review the Sewerage and Water Board Safety Orientation Notice, and will explain this notice to every employee who will enter Board facilities. This notice is included as a part of the specifications for this contract.

If this transaction involves the delivery of hazardous materials, the vendor shall ensure that he or any deliverer is at all times in compliance with the Occupational Safety and Health Act (OSHA) and Environmental Protection Agency (EPA) Standards that are the most applicable to management of the potentially damaging substance.

The Vendor shall also ensure that the manufacturer maintains product liability insurance for any commodity involved in this transaction, which, if defective, could cause bodily injury and property damage. The Vendor, any and all subcontractors, and all insurers shall agree to waive all rights of subrogation in favor of the Sewerage and Water Board of New Orleans as a condition of the required insurance.

APPENDIX D: DRUG FREE WORKPLACE POLICY

16-01 STATEMENT OF POLICY

It is the policy of the Sewerage and Water Board of New Orleans that all work places associated with its operation, maintenance, improvements, and expansion be kept drug free. In order to insure this, the Sewerage and Water Board has approved the following drug testing policy to be implemented on this contract.

16-02 NOTICE

The contractor shall notify all personnel to be employed on this contract that they must submit to drug testing upon the occurrence of any accident, injury, or unsafe and hazardous incident, which involves them. Agreement to submit to such drug testing shall be required for the employment of all personnel under this contract.

16-03 PENALTIES

Any employee who refuses to agree to testing under this policy, or who refuses to be drug tested after the occurrence of any accident, injury or unsafe and hazardous incident which involves them, or who fails to report any such accident, injury or incident within twenty-four (24) hours of its occurrence, shall be in violation of Section 16-01 and 16-02 of the Sewerage and Water Board of New Orleans Drug Free Work Policy as outlined in Section. Any employee found to have a positive test result after his conformational testing shall be be in violation of Section 16-01 and 16-02 of the Sewerage & Water Board of New Orleans Drug Place Policy and shall be removed by the contractor from under this contract and any other Board contractors.

16-04 TESTING PROCEDURE

The contractor shall while performing this contract, require any of its employees who are involved in an accident, injury or unsafe and hazardous incident while in the course and scope of their employment, whether vehicular or non-vehicular in nature, to be tested for blood alcohol or drug levels through a laboratory approved by the National Institute for Drug Abuse . Said employee shall provide a testing sample as soon as possible after such accident, injury or incident, but no longer than twenty-four (24) hours from the time of the occurrence. The contractor shall provide copies of the results of the initial testing on the samples involved to the Risk Manager of the Sewerage and Water Board of New Orleans as soon as such results are known. If the initial testing reveals a positive result, the contractor shall forward the remainder of the original testing sample to a second, conformational testing. The Sewerage and Water Board of New Orleans shall consider any result to be positive if it indicates any level which exceeds the levels set forth as follows:

16-05 INITIAL TEST

If the initial drug test is negative, there shall be no confirmation test. The initial testing shall use as immunoassay which meets the requirements of the food and Drug Administration for commercial distribution. The following initial cut-off levels shall be used when screening

specimens to determine usage of these drugs or classes of drugs:

Initial Test Level (ng/ml)

Marijuana metabolite	50
Cocaine metabolites	300
Morphine/codeine	300
Phencyclidine	25
Amphetamines/Methamphetamines	1000
Alcohol/ethanol	0.5 gram %/ml

1. These test levels are subject to change by the Office of Worker's Compensation, as advances in technology or other considerations may permit identification and quantification of these substances at lower concentrations.
2. The laboratory will use scientifically accepted initial cutoff levels when screening specimens for other drugs in 21 U.S.C. 812, Schedules I, II, III, IV and V.
3. Some specimens may be subjected to initial testing by methods other than immunoassays, where the latter are unavailable for the detection of specific drugs of special concern. These methods are thin layer, high pressure liquid, and/or gas chromatography. Alternate initial test methods and testing levels shall be submitted for written approval to the director of the office of Workers' Compensation, or his designee.

16-06 CONFIRMATORY TEST

All specimens identified as positive on the initial test shall be confirmed using gas chromatography for alcohol (ethanol) and gas chromatography/mass spectrometry (GC/MS) techniques for drugs in 21 U.S.C. 812, Schedules I, II, III, IV and V at the cutoff values:

Confirmatory Test Level (ng/ml)

Marijuana metabolite*	10
Cocaine metabolites**	150
Morphine/codeine	150
Phencyclidine	25
Amphetamines	300
* Delta-9-Tetrahydrocannabinol –9-Carboxylic Acid	
* Benzoyllecgonine	

The Vendor shall choose the laboratory to be used for drug testing, and shall identify such laboratory to the Risk Manager of the Sewerage and Water Board prior to receiving approval to start work. All laboratories shall be approved by the National Institute for Drug Abuse. The

vendor shall notify the Board's Risk Manager immediately of the results of any conformational testing.

The Vendor's Senior Project Superintendent working in consultation and conjunction with the Board's Risk Manager and the Board's Engineer, shall determine whether an accident, injury or unsafe or hazardous incident occurred. The Safety Department of the Sewerage and Water Board reserves the right to investigate any such matter and make a complete report to the Executive Director of the Sewerage and Water Board whose decision shall be final.

The Sewerage and Water Board shall not be liable for any cause of action of any employee of the vendor brought against the vendor as a result of this policy. The Sewerage and Water Board shall not be liable for the vendor's failure to stipulate adherence to the terms and conditions of this drug testing policy as a condition of employment of any employee on this contract. The Board shall not release the vendor from his responsibilities under the policy unless failure to adhere to the conditions of this policy shall be a direct result of any action taken by the Board. These requirements shall be acknowledged by signature of the vendor's authorized representative in the space provided in the "Form of Proposal."

These requirements shall be acknowledged by signature of the vendor's authorized representative in the space provided in the "Form of Proposal."

APPENDIX E: DISADVANTAGED BUSINESS ENTERPRISE PROGRAM

In accordance with the adoption of Resolution R231-97, the Sewerage and Water Board of New Orleans has established a race and gender-neutral Disadvantaged Business Enterprise (DBE) Plan. The prime contractor shall be required to make a demonstrated good faith effort to award **thirty-five (35%)** percent of the amount of the contract to certified disadvantaged business enterprises as **service providers or suppliers performing commercial useful functions which are consistent with the services or supplies required on this contract**. The percent participation having been determined for this specific contract by recommendation of the **Staff Contract Review Committee (SCRC)**, which is comprised of Sewerage and Water Board staff members. This percentage requirement shall be considered an informality which is subject to modifications and may be waived or adjusted by the Sewerage and Water Board of New Orleans if the prime contractor, after having demonstrated a good faith effort, is unable to comply with the requirement.

DEMONSTRATED GOOD FAITH EFFORTS

Before receiving an award of the contract, the contractor must meet the DBE goals or prove that he/she has made a demonstrated good faith efforts. To determine whether a particular contract proposer has made demonstrated good faith efforts to reach the DBE participation goal, the Board and its staff will consider the following:

- a. whether the contractor attended all pre-bid meetings that may have been scheduled by the Board to inform DBE firms of subcontracting opportunities and/or requested the Board Directory of Certified DBE firms;
- b. whether the contractor advertised in general circulation and trade association publications, concerning the DBE subcontracting opportunities, and allowed the subcontractors reasonable time to respond;
- c. whether the contractor provided written notice to a reasonable number of individually named DBE firms and allowed sufficient time for the DBE firms to participate effectively;
- d. whether the contractor followed up initial solicitations of interest by contacting DBEs to determine with certainty whether the DBEs were interested in bidding;
- e. whether the contractor selected specific portions of the work to be performed by DBEs in order to increase the likelihood of meeting the DBE goals (including breaking down contracts into smaller units to facilitate DBE participation);

- f. whether the contractor provided interested DBEs with adequate information about the plans, specifications and requirements of the contract;
- g. whether the contractor negotiated in “good faith” with interested DBEs and did not reject DBEs as unqualified without sound reasons based on a thorough investigation of their capabilities;
- h. if the contractor did reject a DBE as unqualified, the contractor must state his or her reason for doing so in writing;
- i. whether the contractor has used the services of available community organizations and small and/or disadvantaged business groups; local, state and federal small or disadvantage business assistance offices; and other organizations that provide assistance in the recruitment and placement of DBE firms;
- j. whether the contractor has made sufficient efforts to negotiate with DBEs for specific sub-bids, including at a minimum:
 - (1) names, addresses, telephone numbers of DBEs that the contractor contacted,
 - (2) a description of information provided to those DBE firms, and
 - (3) a statement of why additional agreements with DBEs were not reached to include but not limited to proof the DBEs’ price exceeded that of non-DBEs.

1. Policy:

It is the policy of the Board that DBE firms, as defined in the Board’s Disadvantaged Business Enterprise Plan, shall have the maximum allowable opportunity to compete for the award of the participation in the performance of the Board’s publicly bid contracts. Consequently, the SCRC and the Board have set the DBE participation goal applicable to this Professional Service and/or Goods and Service contract.

2. DBE Obligation:

The Board and its contractors agree to ensure that DBEs, as defined in the Board’s Disadvantaged Business Enterprises Plan, shall have the maximum allowable opportunity to compete for the award of the participation in the performance of contracts and subcontracts provided under this agreement. In this regard, contractors shall take all necessary and reasonable steps in accordance with this DBE Plan to ensure that DBEs have the maximum allowable opportunity to compete for such contracts. The Board and

its contractors shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of the Board's publicly bid contracts.

3. **Utilization of DBE Vendor Listings:**

All bidders are required to utilize the most recent Sewerage and Water Board State-Local Disadvantaged Business Enterprise Program Approved Vendor Listings for **Goods & Services/Professional Services**, in their selection of DBE entities to meet DBE participation goals. **Bidders are required to utilize DBE's as service providers or suppliers only in the areas for which they are certified. A description of the areas of work that DBE's can provide is contained in these vendor listings.** In addition, an alphabetical list of vendors/contractors is provided indicating the name of the company, address, name of owner, telephone number, fax number, the date the company became certified, and a description of the work that these entities are certified to perform. **Companies that are already certified as a DBE cannot fulfill the DBE requirements by listing themselves as the subcontractor to meet the DBE goal. The prime contractor shall select another DBE from the Sewerage and Water Board's Approved Vendor Listing.**

4. **Contacting DBE's and Obtaining a Firm Price**

All prime contractors/vendors are required to contact DBE's and obtain a firm price before listing the DBE's on the Participation Summary Sheet. As confirmation of established contact, bidder will include with their Participation Summary Sheet submission a signed correspondence from the SLDBE subcontractor on their own letterhead that reaffirms negotiated terms such as scope of work and monetary compensation.

5. **Failure to Comply with DBE Bid Specifications:**

All bidders for this Board contract are hereby notified that failure to comply with the above DBE specifications may constitute the bid as being non-responsive, and sufficient cause for rejection.

6. **Failure to Carry Out DBE Policy:**

All bidders, potential contractors, or subcontractors for this Board contract are hereby notified that failure to comply with the DBE policy and DBE obligations, set forth above, shall constitute a breach of contract which may result in termination of the contract or such other remedy as deemed appropriate by the Board, to include excluding bidder from bidding on future Board contracts.

7. **Setting Minimum Participation Goals:**

The stated minimum percentage DBE participation goal recommended by SCRC and approved by the Board applies to the work of this contract. Bids which are not accompanied by a properly completed Schedule of DBE Participation Summary Sheet

showing that at least the percentage goal of the total contract bid price will be subcontracted or otherwise awarded through procurement action to DBEs shall be considered unresponsive, unless:

a. An affidavit is furnished by the bidder with its bid showing that the DBE goals cannot be met for the following reasons:

- (1) No DBE firms made offers. Here, it must be shown, documented and demonstrated that good faith efforts (as defined in Part III, D, 2. of the Board's DBE plan) were made by the bidder to obtain the participation of DBE firms and that they did not respond, or
- (2) The DBE offers made and accepted for subcontract and/or material supplies do not total the stated goal for participation, but total a lesser percentage, and
- (3) The bidder was unable to obtain DBE further participation, despite his or her demonstrated good faith efforts (as defined in Part III, D, 2 of the Board's DBE Plan) to obtain additional participation by DBE firms.

b. Each of the assertions made by the bidder must be supported by documentary evidence.

8. Other Clauses Unaffected:

Nothing contained herein shall invalidate, change, annul, release, restrict, or affect the liability on the bonds or insurance given by the contractor, or the time required for completion of the contract.

9. Determination of Efforts to Meet Goals:

Initial determination of bidder efforts to meet the DBE participation goal shall be based on the DBE participation representations submitted with the bid. Bidders shall submit all the forms required herein with their bids, and the DBE office will examine the contents thereof. The Board's DBE Officer may, if deemed advisable, request further information, explanation, or justification from any bidder.

10. Contract Monitoring:

a. The Board's DBE Office will monitor contractor during the operation of the contract to insure that the contractor meets all of its DBE obligations as specified in the contract bid. The Board's DBE office shall establish rules

and regulations, to be approved by the Board, for the ongoing monitoring of contractor compliance.

- b.** Disadvantaged Business Enterprise Program Office personnel or their designated representative shall be allowed to conduct periodic monitoring of contractors' compliance with the agreed to Disadvantaged Business Enterprise Program participation requirements. Contractors shall be required to complete and return to the Disadvantaged Business Enterprise Program Office in the time required all requests for information and data relative to the contractors' activities in meeting the required Disadvantaged Business Enterprise participation goal. Additionally, Disadvantaged Business Enterprise Office personnel or their designated representative shall have access to contractor and subcontractor(s) records pertaining to, but not specifically limited to labor, costs and materials supplied and used on the Board contract, as well as inspection and photocopying of any and all contracts, agreements and correspondence relative to the Disadvantaged Business Enterprise contract participation requirements. Such inspection will be performed during normal business hours, and will be conducted in such a fashion so as to minimize interference with production of the contract. Visits may be made to job sites, as well as to administrative offices of the contractor and subcontractor(s) participants. Such inspection and on-site visits may be scheduled with or without prior notice to the contractor or Disadvantaged Business Enterprise subcontractor participant. Contractors' failure to comply with these monitoring requirements may result in termination of the contract or such other remedy as deemed appropriate by Board.

11. Maintaining Records:

Subsequent to the completion of a contract, contractors are required to maintain for three (3) years such records as are necessary to determine compliance with their DBE obligations. During construction, or performance of the DBE obligations, contractors shall submit reports as requested to enable the DBE Office to monitor this compliance.

12. Umbrella Bonding:

On contracts where subcontracting exists and where practicable (i.e., when a substantial risk or financial hardship would not be incurred by the prime contractor), the contractor may use an umbrella bond to encompass the DBE firm.

13. Board Action to Seek Compliance:

The contractor consents to such appropriate actions taken to ensure that prime contractors and subcontractors comply with the DBE provisions, to include but not limited to:

- a. desk audits to review all material, and information concerning the contractor's compliance;
- b. on-site reviews that may include interviews, visits to project locations, and inspection of documents and/or information not available at the desk audit that pertains to the contractor's compliance;
- c. any additional investigation that may be called for by a lack of proper record keeping, failure of the prime contractor to cooperate; failure of DBEs to cooperate; visible evidence unsatisfactory performance; other evidence as may warrant further investigation.

14. Non-Compliance Finding:

The Board staff will make compliance determinations regarding its prime contractors. Documentation of noncompliance will include the specific areas in which the contractors failed to comply. In these instances, appropriate legal action consistent with the DBE and other contract provisions will be taken.

15. Contractor's Duties

a. Record Keeping

Successful bidders shall establish and maintain records and submit regular reports to the DBE office as required, which will identify and assess progress in achieving DBE subcontract goals and other DBE participation efforts.

b. Failure To Comply With EDBP Participation Requirements

Failure to comply with any of the EDBP requirements of this contract shall constitute a violation of the terms and conditions of this contract and a cause for the termination of the contract at the option of the Board.

Such violations shall include, but not limited to:

Failing to meet the percentage participation requirements as set out in the contract documents.

Failing to use certified EDBP contractors/vendors in performing the scope of work as identified in the contract documents (EDBP participation summary sheet).

Failing to comply with the “monitoring of EDBP requirements” included herein as part of the contract, such as contractors:

Failure to submit quarterly report and any other necessary reports timely and adequately as required by the EDBP Office.

Failure to grant access to contractor/subcontractor records by EDBP Office personnel, and

Failure to allow on-site investigations and visits, etc.

Failing to report the removal or termination of a certified EDBP vendor/subcontractor.

Failing to secure authorization for replacement of certified EDBP subcontractors from the Director of the Economically Disadvantaged Business Program.

In Lieu of termination the Board, through the EDBP Office, may impose the following penalties:

Withhold from the contractor in violation up to 10% of all future payments due to the contractor, until such time as the violations have been corrected.

Withhold from the contractor in violation, all future payments until such time as the violations have been corrected.

c. Subcontract Clause

All bidders and potential contractors must assure the Board that they will include the above clauses in all agreements, which offer further subcontracting opportunities.

d. Contract Award

Bidders are hereby advised that meeting DBE subcontract goals or making a demonstrated good faith efforts to meet such goals are conditions of being awarded and maintaining construction, procurement, or professional services contracts by the Board.

e. Restrictions on DBE Subcontracting

No **DBE** subcontractor or vendor selected to perform work as a **DBE** on a Sewerage and Water Board contract will be allowed to subcontract any portion of its work to a Non-Board certified **DBE**, unless the work to be performed is necessary for the execution of the contract and there are no Board certified **DBE's** available to perform such work.

This process will require that each **DBE** participant performing work on a Sewerage and Water Board funded contract submit a request to subcontract out any portion of work deemed necessary for execution of the contract to the Board's **EDBP** office. On a form provided by the **EDBP** office, the **DBE** contractor or vendor will indicate the dollar amount of work to be subcontracted, the specific scope or nature of the work, the percentage of the total amount of work to be performed by the **DBE** subcontractor and vendor, and the entity to whom the work will be subcontracted.

Both prime and **DBE** subcontractors are advised that the failure to comply with these requirements may result in the loss of **DBE** certification and non-compliance by the prime contractor in meeting **DBE** contractual obligations.

f. Changes In DBE Participation

The prime contractor will not be allowed to make changes in DBE participation without submittal of a written request explaining reason, a revised Participation Summary Sheet and approval by the Director of the Economically Disadvantaged Business Program. Failure to comply with these requirements may result in non-compliance by the prime contractor in meeting DBE contractual obligations.

16. POLICY TO ENHANCE THE USE OF DBE VENDORS

All vendors/contractors are encouraged to identify and use S&WB certified **DBE** vendors to the fullest extent possible in major as well as minor purchases of heavy equipment, hardware supplies, etc.

The Sewerage and Water Board has a long-standing commitment to fairness and equal opportunity in hiring and contracting. As such, the workforce of contractors/vendors is encouraged to be representative of a diverse population. Achievement of the full benefits of diversity will only come when an attitude of inclusion is adopted.

The Sewerage and Water Board believes that developing such a policy would be a positive step to increase the dollar value of contracts awarded to **DBE** vendors and subcontractors.

17. ACCESS TO APPROVED VENDOR LISTS

The current listings of Vendors approved by the Sewerage and Water Board are available for use by the bidders on the Sewerage and Water Board external Website, WWW.SWBNO.ORG.

**ECONOMICALLY DISADVANTAGED BUSINESS PARTICIPATION
SUMMARY SHEET**

Minimum Percentage Goal Participation for this Contract is 35%

Contract Name: Information Systems Management

Name and Address of Disadvantaged Business Enterprise Company		Name of Contact Person	Scope of Work to be Performed	Dollar Amount of Work to be Performed	Percentage of Dollar Amount to Total Bid Price

**THIS FORM MUST BE COMPLETED AND SUBMITTED BY ALL BIDDERS, ALONG WITH SIGNED CORRESPONDENCE FROM SLDBE(S) ON
THEIR OWN
LETTERHEAD REAFFIRMING NEGOTIATED TERMS, AT TIME OF BID. FAILURE TO DO SO WILL RENDER THE BID NON-RESPONSIVE.
BY SUBMITTAL OF THIS FORM, PRIME CONTRACTOR ACKNOWLEDGES THAT DBE(S) HAVE BEEN CONTACTED AND A FIRM PRICE HAS
BEEN OBTAINED.**

NOTE: Signature required even if judged Not-Applicable by Bidder

Prime Representative Name: _____
PRINT NAME

Prime Signature: _____
SIGNATURE

Prime Company's Name: _____

Date: _____

E-mail: _____

Prime Address: _____

Telephone Number: _____

APPENDIX F: SAFETY ORIENTATION NOTICE

Welcome

We welcome you to the S&WB and request your assistance in maintaining our Safety Standards. For the safety of yourself and everyone working at the S&WB, you are asked to observe the following safety precautions. When this notice has been reviewed thoroughly, a senior representative of your company is required to distribute this information to all employees who will be affected. You may contact Ms. Felicia Lovince at (504) 585-2422 (flovince@swbno.org if you have any questions.

Basic

1. Smoking will be allowed in designated areas only.
2. Horseplay, practical joking and fighting are positively prohibited.
3. The use or possession of illegal drugs or intoxicating beverages is strictly prohibited on all S&WB property.
4. Housekeeping is a must. We will keep our area safe and free from litter and expect you to do the same.
5. Handrails should always be used when going up and down ladders or stairs.
6. Atmospheric conditions such as adequate ventilation, presence of oxygen and absence of explosive gases will be assured before working in voids, tanks, or other enclosed spaces.
7. Radios should be turned off.

Emergency

The S&WB Emergency Response Plan is a document, which provides specific notification instructions to be followed in case of hazardous material spills. The Board's Environmental Affairs Office phone number is (504) 942-3856 during normal business hours 7:30 a.m. to 4:00 p.m. The Board's 24-hour emergency line is (504) 585-2837 (St. Joseph) and (504) 865-0575 (Central Control Dispatcher, Carrollton Plant.) Since Board contracts are performed under various circumstances at various locations, prior to beginning any work, the contractor should consult with the Board employee who is responsible for monitoring the contract in order to establish the most effective procedures for handling emergencies. Ms. Lovince is available for advice in these matters at the above telephone numbers.

Transportation

Warning signals and lights shall be used as follows:

1. Rotating beacons shall be used if your vehicle is so equipped.
2. Taillights/emergency flashers shall be used.
3. Orange reflector type safety cones shall be placed to give other motorists warning.
4. If vehicle is moving, backing, or parking, proper traffic control shall be exercised.

Protective Clothing and Equipment

All personnel who are exposed to eye hazards will wear safety glasses. Hard hats will be worn at all times while an employee is in the immediate vicinity of overhead hazards or while operating heavy equipment without a Rollover Protection Device.

Protective clothing and equipment such as rubber aprons and gloves, eye and face protection, approved respirators or dust masks will be worn when handling all harmful chemicals.

Reporting

Defective equipment, machinery, hazardous conditions, or unsafe work practices or conditions shall be reported immediately to your Supervisor / Foreman who will then contact proper S&WB personnel for corrections.

All injuries will be reported to the Risk Manager, (504) 585-2382, or to the Safety Unit, (504) 585-2522, regardless of how minor an injury may seem.

Sewerage and Water Board of New Orleans employees may hold safety meetings to discuss and promote safe working conditions and accident prevention(s) which you may be asked to attend.

Work Smart

Stay alert at all times; know what is going on around you. Know the safe operating procedures concerned with your assigned duties. When your duties may influence the safety of Board employees, notify the employees and their supervisors first.

Vendor / Contractors shall at all times demonstrate strict compliance with Federal, State and Local regulations regarding safety, including but not limited to, all relevant Department of Environmental Quality (DEQ), Department of Transportation (DOT), Environmental Protection Agency (EPA), and Occupational Safety and Health Act (OSHA) regulations. Vendor / Contractor will at their request of the Risk Manager and Senior Safety Engineer remove any of his employees found to be creating or contributing to unsafe conditions.

The following items are not allowed on any S&WB Facility or jobsite:

- Firearms and Ammunition
- Alcohol and illegal drugs

(Authorized Signature and Title)

(Company Name)

(Date)

APPENDIX G: RIGHT TO AUDIT

The Contractor will submit to any SWBNO audit, inspection, and review and, at the SWBNO's request, will make available all documents relating or pertaining to this Contract maintained by or under the control of the Contractor, its employees, agents, assigns, successors and subcontractors, during normal business hours at the Contractor's office or place of business in Louisiana. If no such location is available, the Contractor will make the documents available at a time and location that is convenient for the SWBNO.

Administrative and financial records shall be made and kept by the contractor in accordance with generally accepted accounting principles and practices. Records shall include, but are not limited to, accounting records, daily reports, change order requests, correspondences and subcontract files (hard copies as well as computer readable data, if it can be made available). Records must be retained and made available upon request for a minimum of five (5) years following completion or formal acceptance of the contracted project.

The Contractor will abide by all provisions of City Code § 2-1120, including but not limited to City Code § 2-1120(12), which requires the Contractor to provide the Office of Inspector General with documents and information as requested. Failure to comply with such requests shall constitute a material breach of the Contract. The Contractor agrees that it is subject to the jurisdiction of the Orleans Parish Civil District Court for purposes of challenging a subpoena.

APPENDIX H: CCSR MAINTENANCE AND NEW DEVELOPMENT



Information Systems Management Sewerage & Water Board of New Orleans

Computer Center Service Request Maintenance and New Development

CCSR Number: _____

Describe service requested: _____

Justification/Impact: _____

Deadline (Optional) _____

Please Note: *If Information Systems is unable to schedule the request to meet the deadline, you will be notified immediately and work will not proceed.*

Requestor Name: _____

Org Unit: _____ Location: _____

Phone Number: _____ LAN ID: _____

Approved by: _____

Signature, LAN ID

Comments: _____

APPENDIX I: CCSR ON REQUEST PRODUCTION



***Information Systems Management
Sewerage & Water Board of New Orleans***

**Computer Center Service Request
On Request Production**

CCSR Number _____

Job and/or Report: _____

Number of Copies: _____

Parameter Information Required (date range, SSN, etc.):

Output Required:

☐ As soon as possible

☐ On ☐ By ☐ After: Date: _____

Person to be notified when output is ready:

Name: _____

Org Unit: _____ Location: _____

Phone Number: _____ LAN ID: _____

Approved by: _____
Signature, LAN ID

Comments: _____

Deliver this form to Information Systems Administration, Room 224.

APPENDIX J: SIZE AND SCOPE DOCUMENT

The vendor uses a standard System Development Life Cycle (SDLC) for both Maintenance and New Development projects. In undertaking Maintenance projects, the degree to which SDLC is used depends on the size of the project. Modifying the distribution of a single report requires far fewer steps in the SDLC than does the revamping of an entire subsystem. The Vendor use of the SDLC reflects these pragmatic considerations.

The SDLC currently in place contains nine major steps. Each of these steps is discussed below.

1. Size and Scope—This document is sometimes called a feasibility study. It defines the project, describing in general terms the work that will and will not be done. The document provides an estimate of the maximum total cost and a time schedule for the project. The anticipated role of the vendor and Board staff is outlined so that resource plans can be established. The purpose of the Size and Scope document is to allow all parties to evaluate the costs and benefits of the project immediately. The limits of work can be assessed to determine if they adequately cover all areas of the CCSR.

When appropriate, detail work plan reports will be produced using the project management software, including task identification, task dependencies, personnel resources scheduled, estimated start dates, and estimated finish dates. This software will also produce status reports as the project progresses, comparing actual start and finish dates with estimates.

2. Conceptual Design (also called the Needs Assessment)—The vendor's staff will interview the user community to identify existing manual and automated procedures. The interviews will identify needs of the user community, which must be addressed by the project. Critical data items and their sources will be described. Finally, a generalized approach to the project will be defined and described. The purpose of the Conceptual Design is to allow all parties to determine that the initial approach to the project will ultimately satisfy the CCSR request. If the basic approach described in the Conceptual Design is incorrect, it can be modified before significant investment in time and money is made.

3. Functional Design—This is a non-technical description of the proposed system, including procedural logic, data flows, reports and screens, controls, and security considerations. The Functional Design will describe what the proposed system will do rather than how it will do it.

4. Detailed Technical Design—This takes the Functional Design and translates it into a technical design for an automated system. The document includes file definitions, record layouts, data flow diagrams, hardware specifications, program flow diagrams, and project standards. The Detailed Technical Design is the basis for all programming and testing efforts.

5. Programming and Documentation—This step includes the writing of program specifications, coding of programs, and unit testing of programs. The first drafts of the documentation are written and a plan for user training is established. Documentation may include:

- Operations Run Instructions
- Operations Distribution List
- User Guide to Reports
- User Guide to On-line Screens
- User Guide to Procedures.

6. System Test—All programs are tested together to verify that all functions perform as expected and that interrelated programs follow consistent logic in data handling and processing.

7. Acceptance Test—The Acceptance Test is similar to the System Test but it is submitted for user review and approval. This is the critical stage for identifying any modifications that will be required before installation. During the System Test and Acceptance Test steps, a final draft copy of the documentation will be written.

8. Training and Implementation—The training plan established during Programming and Documentation is implemented and the final documentation is delivered. Data conversion is completed and the necessary programs are installed in the production environment.

9. Project Audit Document—This is a post-installation review of the project and evaluates the success of the effort. The Project Audit identifies any additional requirements and changes necessary.

For each Level of maintenance activity defined by the Board, different portions of the vendor's SDLC will be utilized. The decision to exclude certain steps, or to limit the depth of the step, is based on the complexity of the work being performed. When the modifications desired are simple or limited in extent, the use of the SDLC will be correspondingly simplified or limited.

It must be pointed out that the reverse is also true. In some cases, the proposed changes are highly complex and require the inclusion of additional steps in the SDLC. This will be particularly true of Level 3 Maintenance activities that range from moderately complex to extremely complex. In the case of the more complex Level 3 Maintenance activities, the full SDLC will be used.

Each project is evaluated to identify the specific steps of the SDLC that would be appropriate to guarantee successful completion of maintenance activities. The SDLC is a tool that the vendor uses to provide quality and control over application maintenance and development projects.

The vendor understands and agrees that any software developed for the Sewerage and Water Board will become the exclusive property of the Sewerage and Water Board, and may not be sold or used at any other site without the explicit written permission of the Sewerage and Water Board.

APPENDIX K: CALL LOG



Information Systems IS Service Record Detailed Report

Sewerage and Water Board of New Orleans

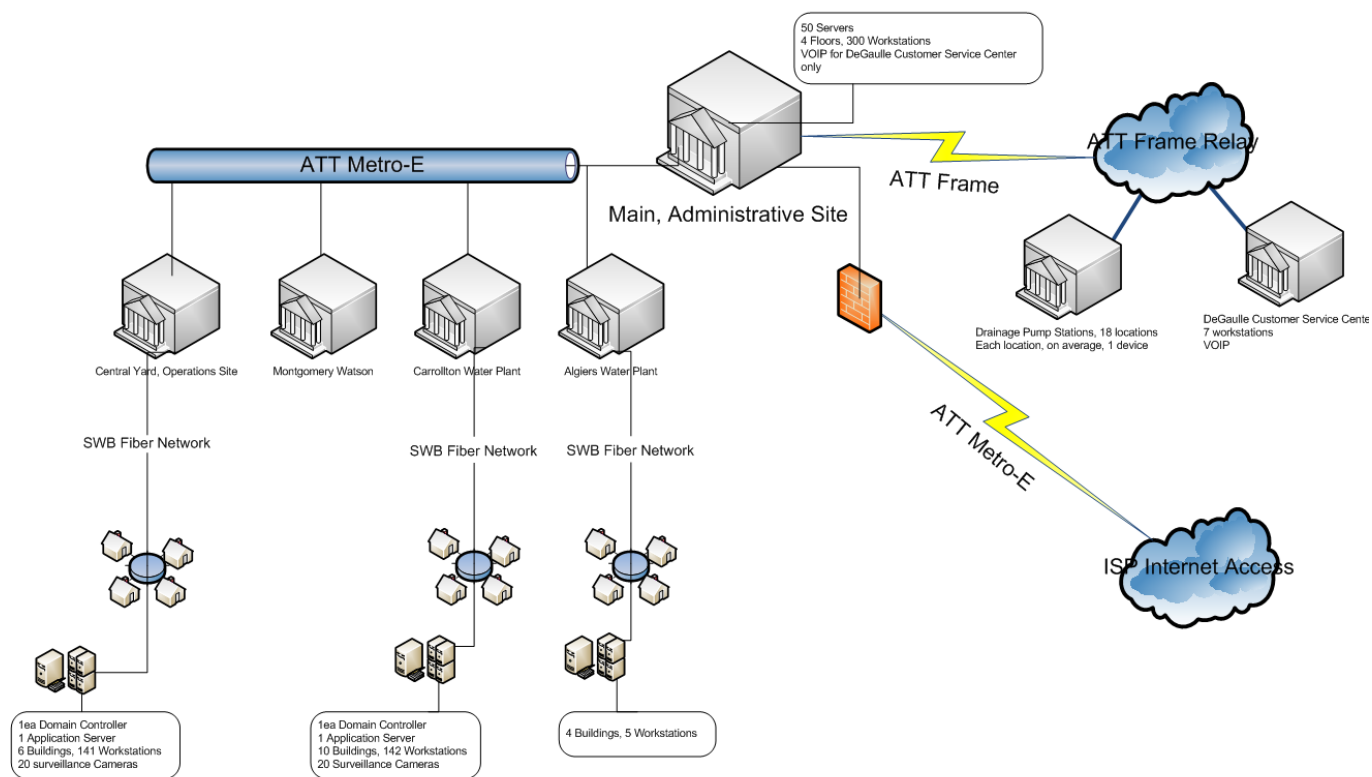
ServiceRecordID			
Call Logged By	Date	Time	Budget Code
PciID	UserName	UserDept	
UserLoc	UserExt	UserRm	
Problem Description			
Comments			
Call Assigned To	Responsible Group		
Reference Catagory	SerInfoID		
1st Referral	2nd Referra	3rd Referral	

Problem Resolution			
VendorID	SCTRefNum	Date Delivered	
Parts Replaced			

Completed By	Time Completed	Date Completed	
Labor Hours	StageCodes	SysCodes	ServiceClass
ReferredTo	Closed <input type="checkbox"/>	ISA <input type="checkbox"/>	SD <input type="checkbox"/> CT <input type="checkbox"/>

APPENDIX L: NETWORK DIAGRAM

High Level Overview of the SWBNO.org network



APPENDIX M: SUPPORTED SOFTWARE & HARDWARE

1. NETWORKS SERVER SOFTWARE IN SERVICE

Alertus Mass Notification
ArcGIS Server
Atlassian Bitbucket code repository (Wed Dev)
Cogsdale CSM 2019
Enhanced Notes
Fastpath Single Sign-On for GP
Greenshades
Invgate Assests
Invgate Support Desk
Matrix IT ACD Software
Microsoft Dynamics GP 2015, 2016, 2019
Microsoft Exchange Server
Microsoft IIS
Microsoft SCCM
Microsoft Windows Server 2000, 2008R2, 2012R2, 2016
MS SQL Server 2005 Express, 2008, 2012, 2014, 2016, 2017
MySQL Database Server 5.5
Oracle 8i Database
OSIsoft PI System (SCADA)
Pentana Internal Audit and Risk Management
PostgreSQL Database 8.1
Proficy HMI SCADA iFIX
PRTG Network Infrastructure Monitoring
S2 Security and Access Control
Symantec Endpoint Protection
Symantec Enterprise Vault Email Archive
Veeam Backup and Replication
VMWare ESXi 5.x, 6.5.x
VMWare View
VMware VRealize Operations Management
VMWare vSphere
Vocantas IVR
WASP Inventory control
XC2 Fats, Oil and Grease Abatement

2. NETWORK PHYSICAL/VIRTUAL SERVERS IN SERVICE

The Board currently employs 42 Physical servers, the majority of which are at the St Joseph's location. This location contains all the general use servers. Additionally, some location-specific servers can be found at Central Yard, the Carrollton and Algiers Water Plants and the Julia Street and K&B Building locations.

The following contains a list of all server locations and functions:

Location	Count	Purpose
AWP	1	SCCM Distribution point server
CWP	1	Old camera/badge
CWP	1	Domain Controller
CWP	1	SCCM Distribution point server
CWP	1	Power generation for CWP
CWP	1	Scada Historian
CY	1	Old camera/badge
CY	1	SCCM Distribution point server
CY	1	Scada Historian
CY	1	Domain Controller
KB	1	SCCM Distribution point server
Julia	1	Camera server
Julia	1	SCCM Distribution point server
SJ	1	SQL Server for Old GIS System
SJ	3	Domain Controller
SJ	1	SQL Backup storage
SJ	1	ArcGIS Server
SJ	3	VMWare ESXi host for RJN
SJ	1	Backup
SJ	1	Old camera/badge
SJ	1	Domain Controller
SJ	1	Veeam Backup Repository
SJ	7	VMWare ESXi host for general use
SJ	1	SCCM Distribution point server
SJ	1	Exchange Server
SJ	1	Oracle Server for RJN
SJ	6	VMWare ESXi host for Cogsdale related
SJ	1	SQL Database Server

Approximately 165 virtual servers currently in operation. Operating Systems used include:

- SUSE openSUSE
- SUSE Linux Enterprise 11
- Microsoft Windows 10
- Microsoft Windows 2000 Server
- Microsoft Windows Server 2008 R2
- Microsoft Windows Server 2012
- Microsoft Windows Server 2016
- CentOS 4/5 or later
- Other 3.x Linux

3. NETWORK STORAGE ARRAYS IN SERVICE

Seven storage arrays, with a combination of NetApp, IBM and Cisco models.

Role	Model
VM Storage	NetApp FAS2554
VM Storage	NetApp AFF200
Document Centralization	IBM DS 5020
Water Plant File Storage	IBM DS 5020
FEMA Storage	IBM DS 5020
Database Archiving	IBM DS 4700
Veeam Backup Repository	Cisco S3260

4. NETWORKS CISCO HARDWARE

The pump station network consists of Cisco routers (models vary) and at some a Cisco network switch that provide email and remote monitoring access from each station. There are 28 stations that are wired with AT&T ASE.

5. PC SUPPORT: PC'S, LAPTOPS, AND TABLETS IN SERVICE

Manufacturer	Type	Count
Lenovo	Workstation	622
Lenovo	Tiny PC	115
Lenovo	Laptop	132
HP	Workstation	4
HP	Laptop	10
Microsoft	Surface Pro	60
Apple	iPad	87
Xplore	Bobcat Rugged Tablet	10

6. PC SUPPORT: CELL PHONES IN SERVICE

Manufacturer	Type	Count
Samsung	Galaxy Smartphone	400
Apple	iPhone Smartphone	6
Sonim	Basic Cell Phone	40

7. PC SUPPORT: PRINTERS AND PLOTTERS IN SERVICE

Manufacturer	Type	Count
HP	Monochrome Printer	96
HP	Color Multifunction Printer	44
HP	Color Printer	47
HP	Color Plotter	3
Brother	Multifunction Printer/Fax	5
Brother	Label Printer	2
Canon	Color Plotter	2
Xerox	High Speed Monochrome Printer	1

8. PC SUPPORT: PERIPHERALS IN SERVICE

Manufacturer	Type	Count
Canon	Desktop Scanner	150
Zebra	Barcode Scanner	50
Magtek	Credit Card Reader for Cashiers	9
Epson	Receipt Printer for Cashiers	9
Scan Corporation	OCR Scanner for Cashiers	9

9. HARDWARE SUPPORTED BY MAINFRAME OPERATIONS

Hardware Model #	Count	Description	Manufacturer	Support Team
6262	1	Printer	IBM	Operations
3598	1	Tape Controller	IBM	Operations
3590	4	Tape Drive	IBM	Operations
2086	1	ESSERVER Z890	IBM	Operations
DS6800	1	Disk Storage	IBM	Operations
EPS 4112	1	Printer	XEROX	Operations
602-45226-01	1	Workstation	XEROX/SUN	Operations
9355-15	4	UPS	EATON POWERWARE	Operations
LaserJet 9000n	1	Printer	HP	Operations
2500	1	Burster	Standard Register	Operations

10. MAINFRAME SOFTWARE

Mainframe Software Application	Version	Manufacturer
--------------------------------	---------	--------------

Customer Account Management (CAM)

Mainframe Cobol CIS Billing System. System has been replaced by Cogsdale CSM; however, occasional reports and historical information needs to be extracted

Legacy Cobol System developed in house

Governmental Human Resources System (GHRM) v2.3.2

Mainframe Cobol CICS Human Resources / Payroll system recently replaced by Dynamics Great Plains Human Resources / Payroll System. This system remains available for research.

CGI

ADVANTAGE FINANCIAL (AFIN)

v 2.2

CGI

Modules:

- General Ledger
- Accounts Payable
- Accounts Receivable
- Customer Accounting
- Workers' Comp
- Bank Recon
- Budget
- Purchasing
- Inventory Control

Z/OS BASE	v1.13	IBM
Z/OS Communications Server (TCPIP)	v1.13	IBM
Z/OS RMF	v1.13	IBM
Z/OS SDSF	v1.13	IBM
Z/OS Security Level 3	v1.13	IBM
Z/OS Security Server (RACF)	v1.13	IBM
CICS/TS	v4rl	IBM
Enterprise COBOL	v3r4	IBM
CA90	v14.0	Computer Assoc
Roscoe	v6.0 sp09	Computer Assoc
CA-1 TMS	v12.6	Computer Assoc
CA-1 EARL	v12.6	Computer Assoc
Librarian	v4.4 gen1005	Computer Assoc
Easytrieve	v5.0	Computer Assoc
FDR/CPK/ABR	v5.4 r76	Innovation Data Processing
DRS	v2.1.1.2	Levi, Ray, & Shoup
VPS	v2.1.1.6	Levi, Ray, & Shoup
VPS/EMAIL	v2.1.1.6	Levi, Ray, & Shoup
VPS/LCDS	V2.1.1.6	Levi, Ray, & Shoup
VPS/TCPIP	V2.1.16	Levi, Ray, & Shoup
CEMT/MBC	v1.4.15	Mackinney
MSG	v5.4.3	Mackinney
KWIK-KEYS	v3.8	Mackinney
OSXREFS	v2.2	Mackinney
Syncsort	v1.4	Syncsort Inc.

11. PC SOFTWARE

Software Application	Version	Manufacturer
Adobe Acrobat	v10	Adobe Systems Inc.
Adobe Acrobat Reader DC	v7-12	Adobe Systems Inc.
Adobe Creative Cloud		Adobe Systems Inc.
Adobe Flash Player		Adobe Systems Inc.
Adobe Illustrator	v2015-19	Adobe Systems Inc.
Adobe InDesign	v2015-19	Adobe Systems Inc.
Adobe Lightroom Classic CC		Adobe Systems Inc.
Adobe Media Encoder CC	2019	Adobe Systems Inc.
Adobe Photoshop CC	2015	Adobe Systems Inc.
Adobe Premier	2018-19	Adobe Systems Inc.
Adobe Shockwave Player		
Alertus Desktop		
ArcGIS	v10	Esri, Inc.
ArcGIS Pro		
AT&T VoIP Client	v12.1.001	

AutoCAD	v2010/2015	Auto DESK Inc.
AutoCAD Raster Design	v2010/2015	Auto DESK Inc.
Autodesk 360		
Autodesk DWG TrueView	2018	
Avaya Call Pilot	r 7.5	Avaya
BCC Architect		BCC Software
Bluebeam Revu x64	2016, 2016.5.2, 2017, 2017.0.40	Bluebeam Software
Cassworks	v3.0	RJN Group Inc.
Cisco WebEx Meetings		Cisco Systems
CloudPOSConnect		
Corel PaintShop Pro	X6	Corel
CorelDRAW Graphics Suite	12	Corel
Crystal Reports	v9-10	SAP
Cyndrus/Cynfleet	v3.5	Cyndrus Inc.
DameWare Mini Remote Control x64		
Discovery		
Dragon	v14/15	Dragon Systems
Dragon NaturallySpeaking	v13	Dragon Systems
DR-C225 CaptureOnTouch		
Dropbox		Dropbox
Electronic Meter Reading		
Flowlink		
GlobalProtect		
Google Chrome		Google Inc.
Google Earth	v7.7, 6.2.2.6613, 6.2.1.6014	Google Inc.
Google Earth Pro		Google Inc.
GoToMeeting		LogMeIn Inc
GP Power Tools		Microsoft
Grammarly for Microsoft Office Suite		Grammarly
H2O Map	v5	Innovyze
Historian		
Hummingbird	v8	Humming Bird LTD
iDashboards Desktop		iDashboards
Incident Management System		
InfoWater		Innovyze
InfoWater Surge		Innovyze
KPG-49D		Kenwood
LinatrolCUT		Linatrol
Mastercam	2017/2019/X4	
MasterWorks		
Mekorma MICR	2016	Mekorma

Microsoft .NET Framework		Microsoft
Microsoft Expressions Encoder	v4	Microsoft
Microsoft Office Professional Plus	2010, 2016, 365	Microsoft
Microsoft OneDrive		Microsoft
Microsoft Silverlight		Microsoft
Microsoft Visio	v2019	Microsoft
Microsoft Visio Professional	v2019	Microsoft
Microsoft Visual C++		Microsoft
Microsoft Visual Studio	2015	Microsoft
Milestone XProtect Smart Client		Milestone Systems
My-T-Soft		My-T-Soft
Notepad++	v7.7.1	
Olympus Dictation Management System		Olympus
OMNITREND		Omnitrend Software
OnGuard		Lenel
OpenText HostExplorer		OpenText
Operations Dashboard		
P6 Professional (x64)		
PaperVision Capture		
PAS		PAS
PI Software Development Kit		
Primavera P6	v3.1 oracle 6.2	Oracle Corp
Primavera P6 Professional		Oracle Corp
ProNest 2012 Nesting Software		
PSPPro64		Corel
Quadient Architect		
RingCentral Meetings		RingCentral
RISACONNECTION 10.0		Risa
S2 NetVR Client		S2
Scan6000		
SketchUp Import		SketchUp
Skype for Business Basic		Skype
Skype Meetings App		Skype
SMART Meeting Pro		
SmartView		
SolarWinds License Manager		
Utilities OnCall Agent		
Veritas Enterprise Vault		Veritas Technologies
Visual Basic for Applications		Microsoft
Visual Studio		Microsoft
VLC media player		VideoLAN
VMware View Client	v Hypervisor 5	VMware
Windows Media Encoder	9 series	Microsoft

Wirecast
XC2 Sequoia
Zoom

Wirecast
XC2
Zoom

12. SCADA SOFTWARE

- GE Proficy iFIX HMI/SCADA
- GE Proficy Historian
- OSIsoft PI (Data Archive, Asset Framework, and Vision)
- Kepware KEPServerEX,
- Win-911 & Win-911 Mobile
- PLC programming software (Allen Bradley RSLogix & Automation Direct Productivity Suite).

APPENDIX N: CONFLICT OF INTEREST DISCLOSURE AFFIDAVIT

STATE OF LOUISIANA

PARISH OF _____

Before me, the undersigned authority, came and appeared _____ who, being first duly sworn, deposed and said that:

He/She is the _____ and authorized representative of _____, hereafter called "Respondent."

The Respondent submits the attached RFP Response to the Board's RFP Response:

The Respondent hereby confirms that a conflict(s) of interest exists /does not exist/may exist (circle one) in connection with this solicitation which might impair Respondent's ability to perform if awarded the contract, including any familial or business relationships that the Respondent, the proposed subcontractors, and their principals have with the Board officials or employees. *(If a conflict(s) of interest exists and/or may exist, describe in a letter the nature of the conflict, the parties involved and why there is a conflict. Attach said letter to this form).*

Respondent Representative (Signature)

(Print or type name)

(Address)

SWORN TO AND SUBSCRIBED BEFORE ME
THIS _____ DAY OF _____ 2020.

NOTARY PUBLIC (Signature)

NOTARY PUBLIC (Print Name)

Notary ID#/Bar Roll # _____

APPENDIX O: CONVICTED FELON
NO TAXES, FEES, CHARGES OWED TO CITY OF NEW
ORLEANS AND/OR SEWERAGE AND WATER BOARD NON-
SOLICITATION

STATE OF LOUISIANA
PARISH OF ORLEANS

BEFORE ME, the undersigned authority, duly commissioned and qualified and sworn in and for the State and Parish aforesaid, personally came and appeared _____
who after being duly sworn, did depose and say as follows:

1. He/she is the _____ (title) of
_____ (company);
2. The Contractor complies with Section 2-8 (c) of the City Code.
3. The contracting entity, person or corporation whose principal(s), member(s), and /or Officer(s) have, within the preceding 5 years, not been convicted or plead guilty to, a felony under state or federal statutes, for embezzlement, theft of public funds, bribery, falsification or destruction of public records; (City Code Section 2-8)
4. He/she is not delinquent on any taxes owed the City of New Orleans or fees/charges to the Sewerage and Water of New Orleans
5. The Contractor has not employed or retained any company or person, other than a bona fide employee working solely for him, to solicit or secure the subject contract. The Contractor has not paid or agreed to pay any person, other than a bona fide employee working for him, any fee, commission, percentage, gift, or any other consideration contingent upon or resulting from the subject contract.

AFFIANT

SWORN TO AND SUBSCRIBED BEFORE ME
THIS _____ DAY OF _____ 20__

NOTARY PUBLIC (Signature)

NOTARY PUBLIC (Print Name)

Notary ID#/Bar Roll # _____

APPENDIX P: INFORMATION SYSTEM DEPARTMENT DUTIES

The following list of duties are typical duties expected from Information Systems contract and Board staff. The list is not comprehensive, and other duties may be assigned, as necessary.

1. Administration (Contractor Site Director)

Generally provides on-site management of all contract requirements to ensure full technology support as outlined in this RFP. This includes development of technology strategic plans in conjunction with the SWB director, and implementation of new hardware and software, as well as the following items:

- a) Weekly project leader meetings.
- b) Bi-Weekly progress meeting with SWB Information Systems Department Head.
- c) Monthly tracking and graphing of Open / Closed CCSR's (Computer Center Service Requests) and other benchmarks to be determined.
- d) Monitors Open / Closed Service Requests (add, move, and repair PCs, software trouble tickets, password changes, etc.
- e) Monthly staff meeting with department.
- f) Provides general supervision for all project leaders; help with personnel issues, etc.
- g) Monitors project leader work plans for timeliness of completion and making any necessary changes.
- h) Fully staffs Information Systems contract, filling any vacancies in a timely manner; works with SWB Information Systems Department Head and Project Leaders to ensure that job descriptions are correct on advertisements.
- i) Recommends upgrades / changes and strategic plans for technology for the Board.
- j) Researches Information Systems issues and recommend solutions.
- k) Writes or aids in writing technology RFP's and Bid specifications for the Department / Board.
- l) Ensures that departmental staff keeps Disaster Recovery Policy up to date; Works with staff to add / update Departmental Policies.
- m) Selects and Posts Hurricane Team and Alternates to stay onsite during hurricane disasters.
- n) Provides data for SAS auditor reviews.
- o) Tracks and compiles SAS data from project leaders and monitors for completeness.
- p) Monitors for timely completeness all auditor (internal auditor, external auditor, etc.) change requests.
- q) Other Duties, as requested.

2. Administration (SWB Director)

- a) Sets strategic direction for the department; requests input and advice from contractor on occasions.
- b) Monitors contractor for compliance; reviews all contractor invoices.
- c) Meets twice weekly with the contractor site director to discuss departmental progress, problems, recommended solutions, and other issues within the department.
- d) Requests staffing changes by contractor (additions/ deletions / creation of new positions). Sits in on interviews, where appropriate, and recommends staff selection.
- e) Co-chairs monthly staff meetings with site director.

- f) Reviews hurricane teams; serves on all hurricane disaster teams.
- g) Serves as liaison between external auditor and department for SAS reviews
- h) Receives all public records requests and legal requests for department; reviews data for completeness before submission.
- i) Completes annual departmental capital and operating budgets based on Information Systems Group draft work plans and SWB departmental requests.
- j) Completes all capital and job appropriation requests for budget.
- k) Signs off on all requisition and payment documents for contractor.
- l) Rolls up all work plans within department into one work plan for submission to Deputy Director.
- m) Serves on various technology committees, RFP teams, etc.
- n) Does annual performance reviews for all Civil Service personnel within department.
- o) Other duties, as requested.

3. Networks Group

Generally provides all network management and support as outlined in this RFP. This includes providing full SWBNO network connectivity, continuous maintenance and upgrading of all antivirus, filtering and other cyber security features.

General Network Group duties:

- a) Backs up, monitors, updates, and performs maintenance for all physical and virtual servers.
- b) Maintains Active Directory.
- c) Maintains an Exchange 2013 Enterprise and Office 365 Email environment.
- d) Monitors, Maintains and Upgrades Mail Vaulting Solution.
- e) Researches, tests, and deploys OS/software updates for every system on an ongoing basis.
- f) Determines Specifications and Implements Hardware Upgrades.
- g) Determines Need for Wiring-Repairs and additions; acquires quotes for services and oversees wiring contractors.
- h) Produces weekly status report
- i) Works with other Surveillance Camera System individuals at the Board in the design of new camera systems; completes specifications for new servers needed during camera expansion projects; acts as liaison for Support Services Department at the Board.
- j) Maintains AT&T ASE Ethernet connective to 28 sites.
- k) Provides 2 members for the hurricane team to ensure Information Systems infrastructure and email remains available during emergencies.
- l) Troubleshoots any server hardware or software problems; provide after-hours support where necessary.
- m) Provides support, assistance, and recommendations to outside departments on technology issues.
- n) Provides annual work plan with updates.
- o) Recommends software and hardware upgrades or additions for budgeting purposes.
- p) Provides data for SAS auditor reviews.
- q) Works with PC Techs in the support of Smart Phones.
- r) Maintains Fiber Channel SAN infrastructure.
- s) Documents changes to current network.
- t) Designs and maintains VMware vSphere environments.
- u) Creates and maintains system images as needed for desktop deployment.
- v) Manages both the Fiber and Copper infrastructure for the Board's entire network.
- w) Manages an ArcGIS server environment.
- x) Manages Oracle and SQL database environments.

- y) Assists in obtaining hardware and software price quotes for purchasing.

Cyber security duties

- z) Monitors, Maintains and Upgrades Antivirus Solution.
- aa) Monitors, Maintains and Upgrades Internet Filtering Solution.
- bb) Monitors, Maintains and Upgrades Network Firewall.
- cc) Evaluates and improves network security, availability and performance on an ongoing basis.
- dd) Writes / Updates internal and user security policies.
- ee) Helps Perform Cyber Risk and Reliability Assessments; Documents ongoing plans for improvement, per requirement from Water Infrastructure Act of 2018.
- ff) Recommends improvements to increase compliance to NIST standards.
- gg) Manage internal security certificates.

4. Mainframe Operations:

a) Systems Programmer:

- i. Recommends software upgrades and implements/maintenance of the z/OS operating system including CICS/TS, all third- party software and
- ii. I/O gens. Daily monitoring of the system including analysis of system dumps and performance data.
- iii. Manage all levels of access and security for users, applications and processes.
- iv. Management of the mainframe storage configurations, including the determination of backup requirements, placement of files on DASD and optimizing the utilization of storage devices (DASD and tape).
- v. Provides assistance to system operators, application programmers as required.
- vi. Recommends new software or hardware for budget.
- vii. Troubleshoots hardware and software problems; provides after-hours support where necessary.
- viii. Performs scheduled system IPL's (during weekend hours).
- ix. Performs scheduled disk compacts (during weekend hours).
- x. Does annual work plan for inclusion in Operations Group Work Plan.
- xi. Produces weekly status report
- xii. Provides data for SAS auditor reviews.

b) Operations

- i. Runs nightly batch processing.
- ii. Performs batch job recovery if possible; otherwise notifies on call team.
- iii. Prepares all batch job schedules; coordinates with users when required.
- iv. Prints Customer Utility Bills.
- v. Performs daily, weekly, monthly and yearly batch job set-up and submission.
- vi. Performs production control; move programs, deck, process libs, from test librarian to production when requested from programming or systems staff.
- vii. Performs daily, weekly and monthly file transfers; uploads, downloads, electronic bank postings.
- viii. Backs up software systems and disk packs.
- ix. Performs Tape Management; prepares daily scratch tape pools.
- x. Monitors tape usage and checks for irregularities using CA-1 reports.

- xi. Prepares and transfers weekly backup tapes (mainframe and network) to the offsite vault location.
- xii. Performs weekly maintenance (cleaning, vacuuming) of Computer Room Mainframe Hardware.
- xiii. Places service calls on Computer Room Mainframe Hardware when required.
- xiv. Monitors environmental conditions within the Computer Room.
- xv. Restocks daily Computer Room on floor supplies (paper, forms, etc.).
- xvi. Monitors Computer Hardware using EREP report.
- xvii. Monitors security using RACF reports.
- xviii. Signs all printed checks (Board's Finance Director's signature stamp).
- xix. Provides On-call Technical Support (weekend and holiday periods).
- xx. Provides On-site Computer Operations/Help Desk Support during a Level 111 activation.
- xxi. Orders Xerox printer supplies directly from Xerox. Provides notification of re-order points for all operations supplies (except Xerox Printer).
- xxii. Coordinates UPS testing (off hours or during regular hours).
- xxiii. Provides onsite staffing for generator tests.
- xxiv. Provides data for SAS auditor reviews.

c) Help Desk (currently a responsibility of Operations staff):

- i. Answers Help Desk telephone and records user problems on service request.
- ii. Completes service request where possible; otherwise assigns request to appropriate pc tech, etc. When received, the calls are entered into the Invgate Service Desk Database and directed to the appropriate staff for resolution.
- iii. Resets user passwords remotely.
- iv. Unlocks user accounts remotely.
- v. Performs CAM account histories as requested.
- vi. Performs other CCSR requests as requested.
- vii. Does annual work plan for inclusion in Operations Group Work Plan.
- viii. Produce weekly status report.

5. PC Technical Support (currently under Operations)

- a) Responds to all service requests from staff.
- b) Installs, removes, and relocates desktop, laptop, netbook, and tablet computers.
- c) Installs, removes, and relocates printers, scanners, and other peripheral devices.
- d) Installs, configures, repairs and removes software. Monitors software license inventory. Notifies management of licensing issues.
- e) Assists users with data management.
- f) Images and reimages computers with OS.
- g) Answers software, hardware, peripheral, smartphone, and telephone user questions.
- h) Installs hubs, replaces and repair LAN wiring and jacks, setups wireless communications when necessary. Contracts with vendor for new wiring and port installation. Monitors installation to ensure work has been completed successfully.
- i) Reports telecommunications failures to AT&T for both network and equipment errors. Monitors status and informs all parties involved. Escalates service tickets when necessary to ensure prompt completion of critical repairs. Monitors telephone inventory and orders replacement devices when needed. Manages caller ID and voicemail functions for all telephones.
- j) Researches staff problems to identify solutions. Works with hardware and software vendors to resolve problems when necessary.

- k) Orders, configures and deploys new and replacement cellular phones. Troubleshoots cellular issues and researches possible solutions. Manages cellular lines with vendor, including changing, suspending, and cancelling lines. Manages all requests for new lines and line or feature changes.
- l) Maintains Board hardware, peripheral, parts, and supplies inventory. Requests replacement equipment, including meeting with users to assess needs and specify products for purchase. Decommissions old hardware.
- m) Creates, maintains, and disables user and computer accounts in Active Directory and mailbox accounts in Exchange.
- n) Manages Board audio-visual equipment in Board Room and at various in-house and community meetings. Assists users with tele- and video conferencing. Edits and encodes meeting audio-video. Maintains equipment. Supplies AV kits to users as needed. Provides user support for Board-wide security cameras.
- o) Provides on-site technical support to Board Emergency Operations Center during emergency activations until state of emergency is lifted.
- p) Produces annual work plan to be included in the Operations Group work plan.
- q) Tracks computer change-outs, upgrades, replacements, and recommends purchase points for hardware.

6. Financial System Programmers

- a) Currently supports CGI (AMS) Mainframe COBOL AFIN Software system Support includes trouble-shooting program problems (during and after-hours), installing system updates, writing specialized programs or updating programs to produce data for the user departments, year-end changes.
- b) Areas Supported:
 - i. Accounts Payable
 - ii. Accounts Receivable
 - iii. Customer Accounting
 - iv. Bank Reconciliation
 - v. General Ledger
 - vi. Budget
 - vii. Fixed Assets
 - viii. Inventory Control
 - ix. Purchasing
- c) SAS audit reviews
- d) Annual work plan
- e) Physical inventory processing
- f) 1099M reporting
- g) Annual PO rollover
- h) CSM to AFIN interface
- i) HRP to AFIN interface
- j) Softco to AFIN / AFIN to Softco interface (in development)
- k) Implementations: Provides data per file layouts requested by software vendors produce data for the user departments, year-end changes.

7. Dynamics Great Plains Human Resources/ Payroll System Programmers

- a) Supports GP HR/Payroll system. Support includes assigning all system security / passwords for users, trouble-shooting program problems (during and after-hours), installing system updates, writing specialized smart lists to produce data for the user departments, and other duties, as requested.
 - i. Payroll (Active employees and Pensioners)
 - ii. Position Control
 - iii. Worker's Compensation
 - iv. Personnel
- b) Provides data for SAS auditor reviews.
- c) Does annual work plan.
- d) Provides data for annual Actuarial Valuation.
- e) Responsible for all tasks related to supporting and managing the Cogsdale integrated Human Resources and Payroll software solution including NeoGov, and GreenShades etc.
- f) Ensures the human resources and payroll modules operate effectively, efficiently, and is aligned with business requirements.
- g) Responsible for the work assignments of Application Support team members including escalated issues with regards to the human resource department.
- h) The ASPL provides proactive support for all human resources and payroll support related calls.
- i) Responsible for medium to large-scale human resources and payroll projects, coordinating with members of other team groups for deployment and support of applications and application launches plus the exercise of good judgment and sound decision-making concerning the HRP systems development practices and recommendations.
- j) Review, prioritize, and resolve requests/tickets of HRP application.
- k) Provide professional and technical coaching, mentoring, training, and development plans for application users and support team members (Help Desk).
- l) Ensures the S&WBNO as a whole and application support team members receive and maintain a current understanding of both in-place and emerging technologies in human resources and payroll systems.
- m) Submit weekly summaries and periodic evaluation reports as requested by other departments.
- n) Develop, monitor, and approve performance metrics, technical reports, and specifications for trend analysis and remediation as well as individual performance results through Perform and other application software.
- o) Serves as a resource for IT Analysts for Payroll and Human Resources.
- p) Consult with end users to define and execute business process related goals and expectations. Communicate status updates to end users and supervisors.
- q) Coordinate and ensure quality and schedule adherence, verify compliance.

8. Cogsdale CSM Customer Billing Programmer

- a) Responsible for all functionality encompassing every aspect of the Cogsdale CSM software, such as user management, access control, report creation/modification, data prepping importing, database interaction, data manipulation, process troubleshooting, planning and

implementation of all future testing and implementation of all upgrades/changes to the software to ensure a quality of service to the users.

- b) Provides technical oversight of modifications, changes and additional features of the software to the Project Manager as well as budgeting requirements.
- c) Development of project management practices, achieving identified process automation and business efficiency improvements.
- d) Project Liaison – be available to the user base for all questions or concerns regarding software functionality and daily use.
- e) Communication of project delivery progress, to ensure the awareness of status and any related issues.
- f) Identify goals and objectives to lead others towards their achievements.
- g) Aware of organizational operation, strategies, policies and procedures.
- h) Effective in contributing towards the objectives of a team, and be able to share knowledge, ideas and information. Aware of needs, objectives and constraints of those in other disciplines and functions. Effective at managing people and can adopt an appropriate style to foster teamwork.
- i) Serves as a resource for IT Analysts and Analysts in the Revenue Department.
- j) Process semi-annual CASS certification of billing addresses.
- k) Provide data extracts on request for multiple entities such as: SAS audit reviews, P&N external auditors, OIG, Public Records Requests, Raftellis Consultants, Black & Veatch Consultants (large user reports and free water reports), and City of New Orleans Department of Finance.
- l) Do annual work plan.
- m) Invoice Cloud Management.
- n) User Permissions, User Creation and Removal, Reporting.
- o) GLM Mapping Access Control.

9. GIS Group

- a) Provide technical expertise and advice on GIS related policy for S&WB.
- b) Facilitate the successful implementation of the ESRI GIS location strategy plan for the S&WB.
- c) Provide GIS data management for the S&WB internal and external customers.
- d) Maintain and update ESRI software on server, desktop, mobile platforms.
- e) Maintain and develop new and existing GIS datasets to support the current and future planning and operations of the S&WB.
- f) Research, develop, and propose opportunities for the S&WB to leverage GIS to improve existing workflows and integrate with geo-enabled systems.
- g) Provide GIS expertise to S&WB internal customers to provide COTS and custom developed solutions based on their expressed need.
- h) Provide custom maps for the Executive level and other SWBNO departments on an as needed basis.
- i) Provide management, support of the ArcGIS Online platform for S&WB internal and external customers.
- j) Works with SWB Communications staff to develop GIS maps and applications for the intranet and internet.
- k) Works with Project Development Unit (PDU) GIS analysts to coordinate work, determine training requirements, and prioritize future projects
- l) Provide a GIS weekly activity report.
- m) Monitors all ESRI licenses for ESRI Enterprise License Agreement.
- n) Provide annual work plan.

10. Database Administration

- a) Attends meetings and assist teams with technical issues related to the Data Base systems.
- b) Restores backups, optimization, maintenance, and administration.
- c) MSSQL DB migrations from Development to Production environments.
- d) MSSQL Job development to automate tasks.
- e) SQL code development for reporting, automation, statistics, and transactional updates.
- f) Development of Secure File Transfer Protocol mechanisms with financial institutions such as Capital One for ACH and RPPS transfers for CSM and HR systems.
- g) DB performance monitoring and optimization.
- h) Participates in the design, maintenance, enhancement, coding, and administration of relational databases.
- i) Participates in continuous improvement efforts in enhancing performance and providing increased functionality.
- j) Reviews requests for data and data usage.
- k) Coordinates new HR implementation with existing CSM system deployment to Production environment.
- l) Acts as a good custodian of the DB systems by maintaining best practices and review of processes impacting the DB systems.
- m) Advises administrative team on all technical matters related to DB systems.
- n) Works with technical staff and consultant team to resolve technical issues related to DB systems.
- o) Analyzes and determines information needs and elements, data relationships and attributes, data flow and storage requirements, and data output and reporting capabilities.
- p) Produces weekly activity report.
- q) Produces annual work plan.

11. Website Development

- a) Maintains internal and external Board websites including monitoring of web statistics, testing web pages in a variety of operating systems and web browsers, updating information and adding sections to websites as requested.
- b) Administers and maintains web servers and source control and continuous integration implementations.
- c) Supports all third-party website and API integrations such as the biller portal and payment portal.
- d) Develops database back end systems that allow user departments to post their own data.
- e) Monitors webmaster email inbox; answers emails or forwards to appropriate department
- f) Designs additional web pages—i.e. departmental web pages, specialized subject pages, etc.
- g) Works with SWB Communications staff to develop content and additional web functionality; develops Android and iPhone apps per the directions from Communications staff.
- h) Develops specialized EPA pages and work with social media pages in the future.
- i) Trains departments on use of website features.
- j) Assists departments in web related tasks.
- k) Designs and develops websites ensuring strong optimization and functionality.

- l) Assists in the planning of overall company policy regarding search engine optimization and web development.
- m) Working on programming projects including web layout and site enhancements, web-based applications, and database-backed web and desktop applications.
- n) Overhauling internal and external websites utilizing the latest .NET, JavaScript, CSS and HTML technologies and design philosophies.
- o) Working with SQL Server and frameworks including ADO and ODBC.
- p) Supporting current web applications by analyzing, designing, maintaining, documenting, testing, developing, and monitoring.
- q) Using SQL Server Stored Procedure knowledge to develop database tie-ins with web applications and to assist with reporting and script optimization.
- r) Conducting independent analysis of business and technical issues and recommend alternative solutions, including development effort estimates
- s) Coordinating software development activities with project team members, including mentoring other staff members.
- t) Working to define and document system requirements, report progress and status, develop and coordinate system testing, assist with training, and develop user documentation.
- u) Maintaining proficiency in the languages and platforms required to develop applications.

12. Clerical Support

- a) Serves as department receptionist.
- b) Tracks inventory of all key forms (water bill paper, checks, EFT's, purchase orders, - W-2's, 1099's, paper, etc.) and determine re-order points, as well as coordinates with various departments on any changes to the forms prior to ordering.
- c) Obtains quotes for non-technical merchandise with limited supervision, and obtains quotes for technical merchandise with specific information from technical staff.
- d) Completes all requisitions and public vouchers for departmental purchases.
- e) Logs in purchases that are received and files packing slips.
- f) Submits all invoices to accounting and monitors when check payments are completed.
- g) Keeps all purchasing information in established, organized format.
- h) Keeps office supply cabinet neat and re-orders supplies when necessary.
- i) Inputs daily information into departmental tracking spreadsheets and graphs
- j) Works with Business Analysis Group on First Draft of O & M Budget Spreadsheet
- k) Inputs all CCSR's (computer center service requests) into a database and closes them out on completion. Files paper copies for reference.
- l) Produces monthly CCSR report on CCR detail—opened, closed, remaining open.
- m) Sorts and distributes mail.
- n) Creates and formats documents electronically including letters, memos, status reports, spreadsheets (Excel), and other related documents.
- o) Communicates directly with vendors where appropriate.
- p) Establishes and maintains files in accordance with predetermined standards.
- q) Answers phones and routes incoming calls to appropriate offices or personnel; takes accurate messages.
- r) Receives and directs visitors and resolves routine inquiries.
- s) Prioritizes work based upon goals of the business.
- t) Proofs own work and the work of others.

13. Business Analyst

- a) Works with environmental department, engineers, attorneys, and executive staff to assemble information and produce quarterly and annual EPA Consent Decree Reports.
- b) Tracks and monitors deadlines to ensure compliance with Consent Decree and issues reminders to the appropriate parties, where appropriate.
- c) Analyzes processes and helps flow chart issues for other departments.
- d) Performs analysis, planning, establishment of requirements, functional modeling, development of procedures, and other related management and technical duties.
- e) Interfaces with other departments while representing the agency in the course of collecting, analyzing, compiling, and presenting data from multiple sources for use in creating agency, local, state, and federal reports.
- f) Analyzes, conceptualizes, and defines problems and formulates solutions.
- g) Prepares reports to management defining problems, evaluations, and possible solutions.
- h) Converts analysis data into presentation format for internal and external use.
- i) Uses dashboard software for high visibility projects.
- j) Works to document existing business processes and/or changes to those processes.
- k) Operates independently and reacts rapidly in a complex organizational environment with daily customer interchange and multi-faceted tasking while providing insights and independent thought and advice on interoperability areas.
- l) Maintains state-of-the-art knowledge, compiles information into recommendations / analyses, and participates in presentations where application requires technical expertise.
- m) May conduct research for, or write portions of technical proposals and/or procedures.
- n) Supervise purchasing for IT department and oversees Administrative Specialist in procurement duties.
- o) Works on special projects assigned on an ad hoc basis, using appropriate institutional knowledge, intuition, and graphs, tables, etc.

14. Technical Writer

- a) Serves as the only Technical Writer at the Sewerage and Water Board.
- b) Prepares instruction manuals, how-to guides, standard operating procedures, and other supporting documents to communicate complex and technical information more easily for users
- c) Develops Power Point Presentations to further explain new processes and procedures; holds training sessions with users.
- d) Meets bi-weekly with new Board employees during employee orientation; explains important IT information and leads group in logging on to LAN and changing password.
- e) Works with SWB departments to develop "as is" documentation of processes which include flow charts using
- f) Creates "frequently asked questions" pages to help technical support staff, customers, and other users.
- g) Develops, gathers, and disseminates technical information.
- h) Compiles, organizes, edits, and rewrites material and reports provided by technical and non-technical staff.
- i) Confers with subject matter experts to obtain or clarify information for reporting, consolidate content and reports from various departments into comprehensive operational reports.
- j) Maintains departmental Org Charts in Visio; helps other departments with Visio issues.
- k) Ensures technical detail, formatting, and overall quality meet and/or exceed project requirements.

- l) Initiates efforts to streamline and enhance documentation and/or reporting processes.
- m) Provides expertise regarding presentation, including organization, format, layout, and style.
- n) Translates customer requirements into documentation for review.

15. CASSWORKS

- a) Works with environmental department, engineers, attorneys, and executive staff to assemble information and produce quarterly and annual EPA Consent Decree Reports.
- b) Tracks and monitors deadlines to ensure compliance with Consent Decree and issues reminders to the appropriate parties, where appropriate.
- c) Analyzes processes and helps optimize procedures for other departments.
- d) Performs analysis, planning, establishment of requirements, functional modeling, development of procedures, and other related management and technical duties.
- e) Interfaces with other departments while representing the agency in the course of collecting, analyzing, compiling, and presenting data from multiple sources for use in creating agency, local, state, and federal reports.
- f) Analyzes, conceptualizes, and defines problems and formulates solutions.
- g) Prepares reports to management defining problems, evaluations, and possible solutions.
- h) Converts analysis data into presentation format for internal and external use.
- i) Works to document existing business processes and/or changes to those processes.
- j) Operates independently and reacts rapidly in a complex organizational environment with daily customer interchange and multi-faceted tasking while providing insights and independent thought and advice on interoperability areas.
- k) Maintains state-of-the-art knowledge, compiles information into recommendations / analyses, and participates in presentations where application requires technical expertise.
- l) May conduct research for, or write portions of technical proposals and/or procedures.
- m) Works on special projects assigned on an ad hoc basis.
- n) Maintains asset and supporting tables in asset management system.

16. SCADA Application Support

- a) PI Support
 - a. Regular Maintenance Support
 - i. Server Maintenance and Troubleshooting
 - 1. 4 Servers
 - a. Data Archive (Historian): sj-pi-main
 - b. Asset Framework: sj-pi-af
 - c. Vision: sj-pi-vision
 - d. PI-Relay (DMZ): sj-pi-relay
 - 2. Apply license updates
 - 3. Apply PI updates
 - 4. Apply Window patches on a quarterly basis and when requested to resolve an identified security threat (manually or per S&WB IT process)
 - 5. Check backups

6. Server & Service stability monitoring and troubleshooting (lockup and resource usage)
(contractor to specify method and required network access for monitoring)
- ii. Connection/Interface monitoring and troubleshooting
 1. Between Historian and Relay Server (Kepware)
 - a. Maintain and update PI Interfaces on iFIX Historian(s) and PI-Relay
 2. Between Relay Server and remote data feeds
 - a. Jefferson Parish
 - b. PCCP
 - c. Mission Instruments
 - d. Ayyeka Instruments
- iii. Troubleshooting
 1. Immediately address issues identified by monitoring
 2. Assist S&WB in troubleshooting PI Data Archive, PI Asset Framework and PI Vision issues
- iv. PI points
 1. Data compression maintenance and enhancement
 2. Identify and clean-up stale and bad points
- v. Documentation: Document any changes made to systems
- b. Additional Support (to be conducted on an hourly bases, with hourly estimates approved in advance)
 - i. Screen creation and updating
 1. Create or assist in creating, updating and/or troubleshooting of PI screens
 - ii. Training
 1. Provide one-on-one training in PI systems
 2. Provide group training as requested
 - iii. Documentation
 1. Enhance existing documentation on systems
 2. Document any changes made to systems
- b) iFIX “back-end” Support
 - a. Regular Maintenance Support
 - i. Server Maintenance and Troubleshooting
 1. 5 Servers
 - a. Historians: sj-scada-hist & scada-wtr (to be converted into mirrored historians)
 - b. Webspaces: sj-scada-webspace
 - c. Win911: sj-win911
 - d. Mobile-911 (DMZ): sj-pi-mobile911
 2. Apply license updates
 3. Apply iFIX updates
 4. Apply Windows patches on a quarterly basis and when requested to resolve an identified security threat (manually or per S&WB IT process)
 5. Check backups (Historian data, server configurations, Node

- configurations)
- 6. Service stability monitoring and troubleshooting (lockup and resource usage)
(contractor to specify method and required network access for monitoring)
- ii. Field Node Maintenance (*updates only, Nodes monitored by S&WB*)
 - 1. Apply iFIX updates in conjunction with server updates
 - 2. Approve Windows updates into IT update system
- iii. Development computer assistance
 - 1. Provide assistance with iFIX updates for development computers (desktop(s)/laptop(s) and development virtual machine)
- iv. Connection monitoring and troubleshooting
 - 1. Between Nodes and iFIX Historian and between iFIX Historian and PI Historian
 - 2. Between iFIX Historian and Win-911 server and between Win-911 server and Mobile-911 server
- v. Troubleshooting
 - 1. Immediately address issues identified by monitoring
 - 2. Assist S&WB in troubleshooting iFIX Historian and Win-911 system
- vi. iFIX points
 - 1. Data compression maintenance and enhancement
 - 2. Identify and clean-up stale and bad points
- vii. Documentation
 - 1. Document any changes made to systems
- b. Additional Support
 - i. Screen creation and updating
 - 1. Create or assist in creating, updating, and/or troubleshooting of iFIX screens
 - ii. Training
 - 1. Provide one-on-one training in iFIX systems
 - 2. Provide group training as requested
 - iii. Documentation
 - 1. Enhance existing documentation on systems
 - 2. Document any changes made to systems
- c) Infrastructure
 - a. Provide advice regarding high availability options for iFIX and PI
 - b. Provide advice regarding SCADA security and assistance implementing those security measures
 - i. SCADA network isolation
 - ii. Antivirus settings compatible with SCADA software.

APPENDIX Q: INFORMATION SYSTEM DEPARTMENT POLICIES AND PROCEDURES

Chapter 1: Plans and Priorities

Policy Statement 1.1.1

Work Plans and Budget

During the Capital and Operating Budget preparation process, Annual Work Plans shall be completed by all Project Managers, the Site Manager, and the Information Systems Manager documenting the budgetary needs for the upcoming year based on strategic and operational needs and risk reduction requirements. The work plans will also contain new projects and initiatives needing no additional funding. All computer hardware and software requests from all other SWB departments should be submitted to Information Systems for inclusion in work plans and priority ranking. The work plans are then submitted along with the Information Systems Budget request. Budget requests are ranked according to strategic and operational needs. The budget and documentation is reviewed and approved during a multi-phase process by several members of the Board's Steering Committee (composed of Executive Director, Deputy Director, General Superintendent, Deputy Superintendent and Executive Council). During the budget year, progress on individual work plans is monitored and updated. Long term plans and priorities are established in the ten year budget for Information Systems. The ten year plan outlines the timing for major system upgrades necessary to support the Board's strategic plan and reduce long term risks.

Policy Statement 1.1.2

Risk Reduction Standards for Software

The SWB will endeavor to replace all Desktop and Server software prior to 'End of Life', where patches and manufacturer support is no longer available. Due to a long term lack of funding, some software beyond 'End of Life' is still in use. The replacement schedule will be based on maximum risk reduction.

Policy Statement 1.1.3

Risk Reduction Standards for Hardware

The SWB will endeavor to replace all hardware prior to 'End of Life', where hardware maintenance support is no longer available. Due to a long term lack of funding, a substantial amount of hardware beyond 'End of Life' is still in use. The replacement schedule will be based on maximum risk reduction.

Chapter 2: Information Systems Personnel Standards

Policy Statement 2.1.1

Information Systems Staffing

All Information Systems staff with access privileges to networks shall be briefed and acknowledge compliance with the Information Security policies prior to beginning work. The Information Systems Department is composed of Civil Servants, Information Systems contractors and temporary employees. All non-Board employees of the SWB Information Systems are required to properly identify themselves as Board contractors or temporary employees with their email signature block. All SWB Information Systems employees shall be subject to all Board policies, including but not limited to: Ethics Policy, Safety Policy, Drug and Alcohol Abuse Policy, Dress Code Policy, and Internet and Email Acceptable Use Policy. All SWB Information Systems contractors and temporary employees will also be required to complete the Louisiana State mandated annual Ethics Training for Civil Servants.

Policy Statement 2.1.2

Information Systems Emergency Staffing

The Information Systems Department is designated as "Essential" in the Board's Emergency Response Plan. The Information Systems Director will designate those employees who will make up the

Information Systems Emergency Response Team. All employees will receive a placard that allows for re-entry into the city after an emergency. All candidates for employment will be notified of the potential for onsite support during an emergency event.

Policy Statement 2.1.3 Information Systems Time and Attendance

Information Systems employees are required to work a full day. Employees are required set their hours (arrival, lunch and departure) and verify that they are properly reflected on the sign-in sheet. Employees are required to sign in and out at whichever location their day starts.

Timekeeping: All SWB Information Systems contractors are required to use the Timekeeping system to log their daily hours and progress toward specific CCSR's. SWB Civil Service employees within the Information systems department are required to use the timekeeping system to track progress on all Computer Center Service Requests (CCSR's) that are assigned to them.

Supervisor Notifications: If an employee is running 15 minutes late or more they are required to notify their supervisor or the department's Help Desk. Employees must notify their supervisor if they will not be at their normal location or they are required to attend a meeting.

Sick and Annual: Supervisors should preapprove all vacation. All vacation must be noted on the departmental calendar and all employees must alert their supervisor and the Information Systems director several days ahead of the vacation leave. Employees will notify their supervisor as soon as is practical in the event of injury or sickness, where sick-leave is necessary. Contractors and Board employees will follow their respective company's policies for sick and annual leave.

Policy Statement 2.1.4 Information Systems Professional Standards

All Information Systems Employees are expected to observe and abide by these professional standards.

Etiquette: All Information Systems Employees are required to conduct themselves in a courteous and professional manner. Language should be polite, using a cordial tone with no profanity. Personal telephone and cellphone calls should be infrequent and less than 15 minutes, and the tone of all phone conversations should be kept to a professional standard. Non work related visits and all noise should be limited. If a project team needs to have a group discussion or meeting they are required to use a designated meeting space. Information Systems Department employees shall be required to straighten their desk and cubicle area at least once every 2 weeks, making "neat piles" at a minimum.

Personal Appearance: All Information Systems Employees are required to present an image of professional, quality, and pride at all times. **The dress code within the Information Systems Department applies to all Information Systems employees regardless of office location.**

Dress Code during Normal Business Hours

During normal business hours, when the lobby or other customer service centers are open for business, (usually 8am – 5pm, Monday – Friday), employees are expected to come to work in non-faded, non-wrinkled professional work attire free from holes, tears, or frayed fabric. Attire should be properly fitted, worn correctly, and appropriately cover the body. See-through, strapless, backless, and spaghetti-strapped clothing or clothing that makes underwear or lack of it obvious is forbidden.

Pants with belt loops require that a belt be worn. Men are required to wear their shirts tucked in to their pants. Pantyhose are required for women that wear dresses or skirts. Dress shoes must be worn and are required to be clean and polished. Open-toed shoes or casual shoes, i.e. tennis shoes, hiking shoes, hiking boots, TOMs, or similar are forbidden.

Jewelry should be tasteful and not excessive. There should be no visible body piercing, i.e. nose rings, eyebrow rings, lip rings, etc. Tattoos should be covered by clothing when

possible.

Prohibited attire includes: recreational clothing such as hats, sweats, spandex, leggings, shorts, clothing that appears to be shorts, hoodies, and denim of any color or any kind. This includes denim jackets, denim skirts, denim pants, etc.

Dress Code outside of Normal Business Hours or on Dress-Down Days

During dress-down days or outside of normal business hours, i.e. after-hours shifts or weekend shifts, a more relaxed version of the above dress code applies.

Clean, newer, non-faded denim jeans free from holes, tears, or frayed fabric are allowed. Themed shirts that are consistent with a Dress Down Day themes, i.e. Saints jerseys or Saints t-shirts on a Saints Dress Down Day, are allowed. All other collarless shirts or t-shirts are forbidden.

Tennis shoes, hiking or work boots are allowed.

Exceptions

Any exceptions to the above dress code policy must be pre-approved by the Information Systems Director.

Policy Statement 2.1.5

Information Systems Service Request Documentation

The Information Systems Department records and tracks all user requests. The Help Desk records all user-related hardware and software incidents and trouble-calls using the Call Log database system. Based on the nature of the issue, Call Logs are assigned to the respective team for resolution. Each team member is responsible for updating and closing the Call Log, noting details of its resolution. CCSR forms are submitted to the Information Systems Department for input into the electronic database system. There are 3 major types of CCSR's:

On-Request Production: Used to request mainframe reports from Department Staff, where no additional programmer support is necessary. Examples: Duplicate W2 and 1099 Forms, Leave usage analysis, etc.

Maintenance: Used to request minor modification to a current program or system. Examples: add or delete columns to a report, change a report's date range, research and specify additional hardware or software for a department or current system.

New Development: Used to request a major modification to a current system or to request a new module or system. New Development CCSR's require a Size and Scope document. Examples: Customer Account Management Billing System replacement project, addition of an ArcGIS geo-database system.

All SWB Information Systems employees are required to document their work with either a CCSR or a Call Log. CCSR's and Call Logs completed within a calendar month should be closed out in the system no later than 5 calendar days after the end of the month. CCSR's completed with specialized programming should include a CD with the data / program on it. For an urgent matter or during an emergency, SWB Executive staff will be allowed to delay the submittal of a CCSR and verbally request system changes or the implementation of new processes. Computer Center staff will begin work immediately with the CCSR being submitted as soon as possible afterwards.

Policy Statement 2.1.6

Information Systems SAS 106 Audit by External Auditors

All Information Systems contractors and Board staff are mandated to provide requested data to fulfill the auditor's requests. The Board's external auditor, Postlethwaite & Netteville, will annually audit on-site procedures and testing plans for Sewerage and Water Board of New Orleans General IT Controls and automated Application Controls. The testing of General IT Controls and automated Application Controls will consist of updating their prior year's understanding of the following Audit areas of the IT processing environment and assessing design and implementation of selected key controls, i.e. reviewing a sample of one. The areas of audit include:

Information system operations: Controls to provide for the integrity of information as it is processed, stored, or communicated by the relevant components of the Information Technology infrastructure.

Information security: Controls to prevent or detect unauthorized use of, and changes to, data, systems or programs including the establishment of system-based segregation of duties. Logical access security Controls address the protection of an Entity's data and program integrity.

System change management: Controls to provide that application systems, database management systems, network and communication software, and system software are effectively acquired, developed, implemented, and maintained. System change controls address implementation and integration of programs or systems within the Information Technology environment to verify the integrity of processing, performance, and Controls over the computerized application systems that it supports.

Policy Statement 2.1.7 Staff Resignations or Terminations

The SWB shall ensure the appropriate System Administrator is notified of all employee terminations. Upon notification, access to SWB information systems will be revoked by the respective security person for each application. If the Director of the SWB information Systems Department is alerted that an employee represents a risk to the security of SWB information systems, all access shall be terminated immediately.

Policy Statement 2.1.8 Procedures for Staff Leaving Employment while assigned SWB Equipment

The Information Systems Department shall retrieve all SWB property previously assigned to a departing employee including all equipment, keys, access cards and forms of employee identification.

Chapter 3: Securing Systems, Hardware, Software and Peripherals and Data

Policy Statement 3.1.1 Data Center Security

All critical equipment (servers, mainframe, tape drives, mainframe printers) shall be housed in a secure environment with alternate power supplies, fire suppression, temperature control and limited access. For periods of extended power outage, the Data Center will be powered by an auxiliary generator. Where available, ID badge access is utilized to control and log entrances. Mandatory sign-in logs are utilized for individuals who require entry without badge access; anyone without badge authority who requires access shall be accompanied at all times. In scenarios where there is a satellite data center location, keyed locks are utilized as the method for controlling access.

Policy Statement 3.1.2 Maintaining High Availability Systems

The Sewerage and Water Board will ensure high availability of hardware and software systems by contracting for hardware and software maintenance. The most critical hardware systems shall be covered by a 24-hour, 7 day a week contract, while less critical hardware shall be covered by 8am to 5pm maintenance contracts. In addition, the Board's facility maintenance staff shall ensure that the climate control system be covered by a maintenance contract.

Policy Statement 3.1.3 Software Licensing and Management

All software shall be purchased through information systems department and installed by PC Techs. All software in use at the SWB requires proper licensing. A database with all licensing information will be

maintained. A library of network server and network client software will be maintained and kept secure. All mainframe production source code is stored in a protected partition library and backed up nightly.

Policy Statement 3.1.4 Server and Workstation Security Standards

All SWB servers and workstations utilize a server managed anti-virus (AV) solution. The server installs and monitors all AV clients and definition files. The server manages the version updates of all server and clients' AV installations. A user without administrative authority is not allowed to install any software, further ensuring that downloaded malware cannot be run and damage network clients. The SWB also utilizes an Email AV solution that monitors and tracks the AV status of the email server and the email traffic. The SWB also utilizes a SPAM filtering solution that monitors and tracks SPAM and filters all mail for virus infection. All valid emails that are delivered to any SWB mailbox are also vaulted.

Policy Statement 3.1.5 Use of Desktop PCs, Laptops and Portable Computers

All computer equipment issued to SWB employees shall not be used for activities unrelated to SWB organizational goals. Information Systems PC Tech Support shall document who is in possession of each device. All individuals who are assigned shall be responsible for the confidentiality, integrity, and availability of the information on their assigned computer. For portable computers and laptops, which are used offsite, each employee is responsible, upon returning to work, for reconnecting their device to the SWB network to ensure that data stored on that device is properly backed up, the operating system is patched, and anti-virus software with current virus data file (including spyware detection and firewalls) is running continuously. In addition, only authorized personnel shall be permitted to take any equipment belonging to the SWB System off the premises.

Policy Statement 3.1.6 Using Centralized, Networked, or Stand-Alone Printers

Protected or restricted information shall not be sent to a network printer in an unsecured area without appropriate physical safeguards or an authorized person present to safeguard this information during and after printing.

Policy Statement 3.1.7 Working from Home or Other Offsite Location (Teleworking)

SWB Information Systems employees will be allowed to work offsite or at home only after their supervisor preapproves a work-plan, which details the expected number of hours and work description. Each supervisor will review the work progress upon return of the employee to ensure that sufficient work product is delivered. SWB Information Systems employees working from offsite locations shall abide by the same policies and procedures for accessing and maintaining protected/restricted information as when working at Board facilities. All teleworking sessions involving network connectivity to SWB systems or information shall require a virtual private network (VPN) connection or a dialup connection through an enterprise Remote Access System (RAS) to the SWB Network to ensure against unauthorized interception and/or disclosure of information.

Policy Statement 3.1.8 Logon and Logoff from Computer

Logon/ Logoff procedures shall be strictly followed. No person given access privileges to the SWB Network or system Applications shall share their logon password with any other person. No person shall use their logon password to enable access for another person to a system for which that person does not have logon privileges. No person shall use another's logon password to gain access to a system. When a user leaves a computer workstation unattended the user must logoff or lock the system or ensure the workstation is appropriately secure.

Policy Statement 3.1.9 Confidential Data Management

All data stored on the SWB information systems shall be managed to ensure the confidentiality, integrity, and availability of the data. All customer information that can be deemed as private or sensitive, such as Social Security information, shall be kept confidential. All restricted or protected information shall only

be transferred outside of SWB networks, or copied to other media, when the confidentiality and integrity of the data can reasonably be assured. Protected or restricted information shall only be faxed or transmitted by modem when more secure methods are not available. The Sewerage and Water Board's secure FTP site will be used by Information Systems staff when there is a necessity to transfer files of 5MB or larger.

Policy Statement 3.1.10 Damage to Equipment

All deliberate damage to or theft of SWB Information Systems property, information, systems, or identification of any potential threat to such property, information or systems, shall be reported immediately to the SWB Information System's Director and appropriate law enforcement as soon as it is discovered.

Policy Statement 3.1.11 Recording, Reporting, and Correcting Incidents

Day to day, ordinary incidents are reported to the SWB Information Systems Help Desk. A Call Log is completed for each of these incidents and is forwarded to a PC support technician for resolution. For incidents that affect multiple users, the Call-Log is escalated to the respective application programmer or the network administration team for resolution. The Shift-Turnover/Incident Report logs are utilized by the mainframe operators to document batch-job related errors and mainframe hardware-related failures. The failure is escalated to the respective manager for resolution. The Operations Manager reviews all logs on a daily basis.

Chapter 4: Controlling Access to Information and Systems

Policy Statement 4.1.1 Defending Network Information against Malicious Attack

Information Systems shall adequately configure and safeguard hardware, operation and application software, networks and communication systems against both physical attack and unauthorized network intrusion. All servers and work stations shall run anti-virus software (including spyware detection and firewalls) while connected to SWB network infrastructure. Upon evidence of an infection from malicious code, the server or workstation will be disconnected from the network and cleaned of the malware. The PC Tech Support team or Network Administration team will notify their project manager and the Information Systems Director.

Policy Statement 4.1.2 Managing User Access

The Information Systems procedure for authorizing administrator authority access shall require approval from the Director of Information Systems. SWB departmental managers will request access for new employees. Each employee or contractor shall be assigned a unique user ID. Requests for generic ID's are scrutinized to ensure operational necessity. When generic IDs are required by operational necessity, the requesting manager shall develop procedures to prevent abuse.

Policy Statement 4.1.3 Managing Application Access

For all major applications, there are forms available online that should be filled out and routed to the appropriate SWB Supervisor for approval. The Supervisor will select appropriate access levels based on the employee's duties and submit the form to the Information Systems Department. The user's data will then be input or updated, permissions assigned according to the request, and the password will be forwarded to the user via interoffice mail.

Policy Statement 4.1.4 Managing Passwords

All SWB systems using passwords as the primary method of user authentication shall require all user accounts to be password protected with strong passwords and require all users to change passwords on a periodic basis. The SWB mandates standards for password length, password change interval and password complexity that are at or above industry standards. These password standards shall be reviewed periodically. Users who require a password reset should call the Help Desk. After successful authentication at the network level mainframe users can logon to mainframe applications. Mainframe password complexity is not as robust as network security requirements; efforts to improve mainframe application security shall be prioritized. Mainframe security is improved because it is behind the more robust Network security.

Policy Statement 4.1.5 Remote User Access

Requests for remote access, with VPN connectivity, shall be sent to Information Systems department by an employee's supervisor. Only employees with valid network credentials shall be granted remote access.

Policy Statement 4.1.6 Monitoring System Access and Use

All SWB information systems that contain protected or restricted information shall be configured to log all information necessary to detect and record attempts of unauthorized access and system errors. Logs with significant activity shall be examined in a timely fashion by the respective Systems Administration team. Security incidents shall be reported to the Information Systems Director for appropriate action and follow up.

Policy Statement 4.1.7 Unauthorized Physical Access Security

Physical access to server rooms and network infrastructure closets shall be secured to prevent unauthorized access.

Policy Statement 4.1.8 Secured Forms Room Access

Physical access to all checks shall be controlled by storage in a locked room. Keys to the storage room shall be secured in the Computer Room with limited access. Only 1 box of each check type shall be kept in the Computer Room during use. Signature stamps shall be kept in a secure location inside of SWB Computer Room with controlled access. A log book of each check type shall be used to record the disposition of all check numbers.

Policy Statement 4.1.9 Shredding Documents or Media Destruction

Information Systems shall contract with a qualified vendor and establish a schedule to complete the shredding of all media and paper documents deemed to contain private, confidential or sensitive information. All failed hard drives will be disassembled and destroyed.

Chapter 5: Processing Information and Documents

Policy Statement 5.1.1 Batch Processing

Run Logs shall be used to control job submission, scheduling and batch processing. Run Logs shall contain a detailed listing of jobs run by Mainframe Operations, as well as the job's run frequency, job flow and job description. Using these logs, the Operator can determine which jobs to submit on a specific day. The Run Logs provide a method for documentation that all scheduled jobs are submitted and processed successfully. The Run Log is divided into 7 categories: Sub Initialize, Job Name, Run

Code, Run Initialize, Schedule Comments, Job Portrait and Abnormal End Comments. Run Logs are categorized by day of the week and contain the jobs to be processed that day only.

Policy Statement 5.1.2 Application Change Management

Application Program change requests are submitted from users to the Computer Center via a CCSR form. Categories of these forms include: production, maintenance and new development. For large, complex new development system designs, Applications Programmers will complete a size and scope document. The requestor must review and approve the proposed size and scope. A programmer will then develop and test the program. Upon completion of the program, the programmer should submit the required request forms directly to Operations as the first step of moving the program into production. Operators are not to complete any move request without receiving the required form filled out in its entirety. Programmers do not have systems permission to move programs into production.

Policy Statement 5.1.3 Major Software System Replacement

A project team shall be assembled from user departments, Information Systems, and a management sponsor when the Board decides to replace a major software system. A software consultant may also be hired to aid in the process and serve on the team. The project team will develop the scope of the project and decide if other peripheral systems should also be replaced. The team will develop functional requirements, identify interface requirements, document business processes, identify key reporting requirements, and aid in choosing the Board's implementation team. An RFP or RFQ/RFP will be issued for the selection of the software product and implementer. The entire implementation team will be comprised of members from the software company, implementer (if different from the software company) and the Board's implementation team. The implementation team will set schedules and standards for data conversion and testing. Multiple "go live" tests will be conducted until all parties are satisfied that the software and data are ready to go into production. The software implementation team will remain to work out any problems for a minimum of 60 days after 'go-live'.

Policy Statement 5.1.4 Microsoft Windows Server and Desktop Operating Systems Patch Management

The Information Systems Department shall utilize Windows Server Update Services (WSUS) to implement and track all server and desktop Operating System patch levels and maintain the stability of the production environment. All Microsoft Windows systems, software, upgrades and patches that are installed or implemented shall be fully and comprehensively tested and authorized by management of the technical and operational areas to be affected by the change, prior to being converted to a "live" environment.

Chapter 6: Internet Security and E-mail Usage Policy

Policy Statement 6.1.1 Internet Web Filtering and Monitoring

Information Systems utilizes a web filtering and monitoring solution to ensure that all Internet usage is work-related and secure. According to Board policy, objectionable sites (gambling and pornography, etc.), entertainment sites (video and audio streaming, etc.), non-work related sites (real estate and sports, etc.), and uncategorized sites or security threat sites are blocked. The web filtering solution includes reporting capabilities and is available for supervisors upon request. If an individual requires access to a blocked site for work related purposes they should request access from the Information Systems Director or Site Director, and should clearly indicate the business need for the site. The Network Administration team will then be directed to unblock the site for approved use.

Policy Statement 6.1.2**Electronic Mail Usage Policy**

All Information Systems employee email accounts are for business use only. The SWB prohibits the use of a personal email account for any Board related business. The SWB email system has a mail size limit of 5MB; files of 5MB or larger should be transferred using the Board's secure FTP utility, on the SWB Intranet site. Personal business should be conducted with a personal email account. Email of an inappropriate nature, such as pornography, rude or offensive jokes, political, or racially inflammatory mail, or chain mail is not allowed. SWB email should not be used to forward or send personal photos or videos.

Policy Statement 6.1.3**Website Security**

The SWB utilizes a public facing Internet website. All sensitive customer data available on the website or transmitted to the website from the mainframe shall be encrypted using Secure Socket Layer (SSL). Credit card processing shall be conducted by a PCI compliant third party.

Chapter 7: Backup and Recovery**Policy Statement 7.1.1****Backup Strategy**

All SWB Mainframe and Network information systems are protected by adequate backup and system recovery procedures. These procedures ensure the integrity of data files, ensuring the availability of an earlier version for recovery.

Policy Statement 7.1.2**Backup Policy and Tape Rotation****Mainframe Applications Backup Procedures:**

Daily: Within each application, master files and log files are backed up to tape or disk twice nightly – once before batch processing begins and once after batch processing is completed. A minimum of three generations are kept. Application pack backups are performed nightly after all batch processing where a minimum of five generations are kept. Storage packs are backed up weekly to tape and system packs are backed up monthly to tape.

Monthly: Application Log files are backed up to tape twice – one copy is the working copy; the other is rotated to the vault.

Annually: Master files are backed up annually to tape to preserve a snapshot of files at years end. This too is performed twice - one a working copy, the other a vault copy.

Network Systems Backup Procedures:

All Network Systems backups are stored to tape. Backups are done on a weekly basis using a four-week rotation schedule. Completed tapes are transported offsite and stored in a vault according to the rotation schedule. Backups are done using ArcSERVE and NTBackup.

Policy Statement 7.1.3**Tape Vaulting**

Backup media sets are rotated to an offsite vault, which is located at the SWB Carrollton Water Purification Facility, on the second floor of Engineering Building. The vault is a key-locked, fire-proof safe. Keys to the vault shall be stored in the Computer Room with controlled access.

Policy Statement 7.1.4**Managing Email Server Data and Legal Discovery Orders**

The SWB conducts weekly, full backups of all email data; all email server backups, along with the weekly backup sets are rotated to the offsite vault. The SWB shall maintain an email vaulting solution to facilitate compliance with court orders for all email related court case material. Board attorneys will

submit a CCSR with details of any request for email discovery. The Information Systems Department will perform the initial data queries and provide copies of all data to the Legal Department for their further review.

Policy Statement 7.1.5 Centralized Storage of all user data

All SWB workstation 'My Documents' information will be stored in a centralized network storage space. The workstation data will be synchronized at each logging off of the current user to serve as a preservation and backup of all SWB work product. The centralized network space will be backed up weekly and rotated to the SWB offsite vault location.

Policy Statement 7.1.6 System Restoration

Mainframe Systems Support staff is responsible for the restoration of all disk packs in the event of failure. Innovations Data's Fast Dump Restore (FDR) software is used to backup all disk packs and only FDR can be used to restore. Currently, the Job Control Language (JCL) is in place to restore a storage pack from a tape backup using FDR. The Tape Management System identifies the specific tapes necessary to restore any Board application in an IBM Z/OS Environment. Network Administration Support staff is responsible for the restoration of all network related tape backups. Computer Associates ArcServe software and Windows NT backup is utilized to backup all network servers. Restoration requires the use of the same software that is used to back up the systems.

Policy Statement 7.1.7 Source Code Access

All application users are prohibited from access to any source code. Permissions restrict any access to source code libraries. Programmers, within their respective applications, are permitted access to the source code.

Policy Statement 7.1.8 Encryption for Portable Laptop Computer Systems

Encryption provides strong protection by making data inaccessible to those without proper access credentials. Beginning March 2013, all new SWB laptops, before being issued to any employee, must be equipped with full-disk encryption.

Policy Statement 7.1.9 Confidentiality Agreements

The Information Systems Department shall require all third parties to execute confidentiality agreements when engaged in the use of information classified as protected or restricted. The agreement shall clearly describe the data being shared by the Board.